

Reply to anonymous Referee #1

Review of Yamazaki et al. On Tropospheric Pathway for QBO Influence on Stratospheric Polar Vortex

This paper presents evidence for the QBO having an influence on the stratospheric polar vortex (the Holton-Tan effect) via the troposphere, rather than via the stratosphere as in previous proposed mechanisms (though they show that other mechanisms are also at work, particularly in late winter). The idea is that the QBO-E stimulates convection in the tropical West Pacific and suppresses it in the western Indian Ocean, and these produce Rossby wave forcing that constructively interferes with the extratropical Rossby wave structure, and hence increases planetary wave forcing of the stratospheric vortex. This is based on observations of differences in tropical convective activity in different QBO phases and model simulations used to estimate the impact of this on extratropical wave activity. Overall I think the sequence of experiments holds together well and I like the tests done to check that the ENSO phase is not a strong confounding factor. I think a few more diagnostics are needed to show that the findings are robust.

We appreciate Reviewer #1 very much for the constructive comments and suggestions. We have carefully incorporated comments and suggestions, which have improved the manuscript in its content and presentation. Our responses to the specific comments can be found below in black (Reviewer #1's comments and suggestions) and blue (our responses).

Most significant comments:

1. Some diagnostics need to be shown to explain why the mechanism does not seem to occur from January onwards – has the apparent difference in tropical convection disappeared (which would suggest to me that it's not robust) or is the forcing of extratropical planetary waves not effective for some reason?

> Thank you. We think the stratospheric pathway is effective in midwinter, in short. We made an analysis on wave amplitudes and the results are now included in the revised version. The following sentences are included in the revised version.

“Why the tropospheric mechanism does not seem to occur from January onward? Is this because QBO-induced tropical convection anomalies disappear in midwinter? We examined the observed tropical convection difference between EQBO and WQBO for each month and found that it does not disappear but shifts slowly eastward. We then made simple diagnostics on seasonal change in observed wave amplitudes (Fig. 17). At 250 hPa, from September to November, wave-1 amplitude in EQBO is larger than that in WQBO at around the maximum latitude. This means that the maximum wave-1 amplitude is enhanced. In December, wave-1 amplitude in EQBO is enhanced in high-latitudes. Although this high-latitude enhancement continues to March, wave-1 amplitude at the maximum latitude of 50°N is reduced and no wave-1 amplitude enhancement in the troposphere is seen from January onward. On the contrary, the stratospheric polar vortex in EQBO weakens more in January (Figs. 1a and 16b). This corresponds to an enhancement of wave-1 amplitude at 100 hPa (Fig. 17f). Apparently, wave-1 amplitude in EQBO becomes larger than that in WQBO from November to February. For wave-2, the seasonal march at 100 hPa and that at 250 hPa are similar (not shown). We suppose the stratospheric processes discussed in many previous studies can account for the mid-winter Holton-Tan relationship. In mid-winter, the stratosphere undergoes vacillation

without changes in the troposphere (Holton and Mass, 1976; Chen et al., 2001; de la Cámara et al., 2019).“

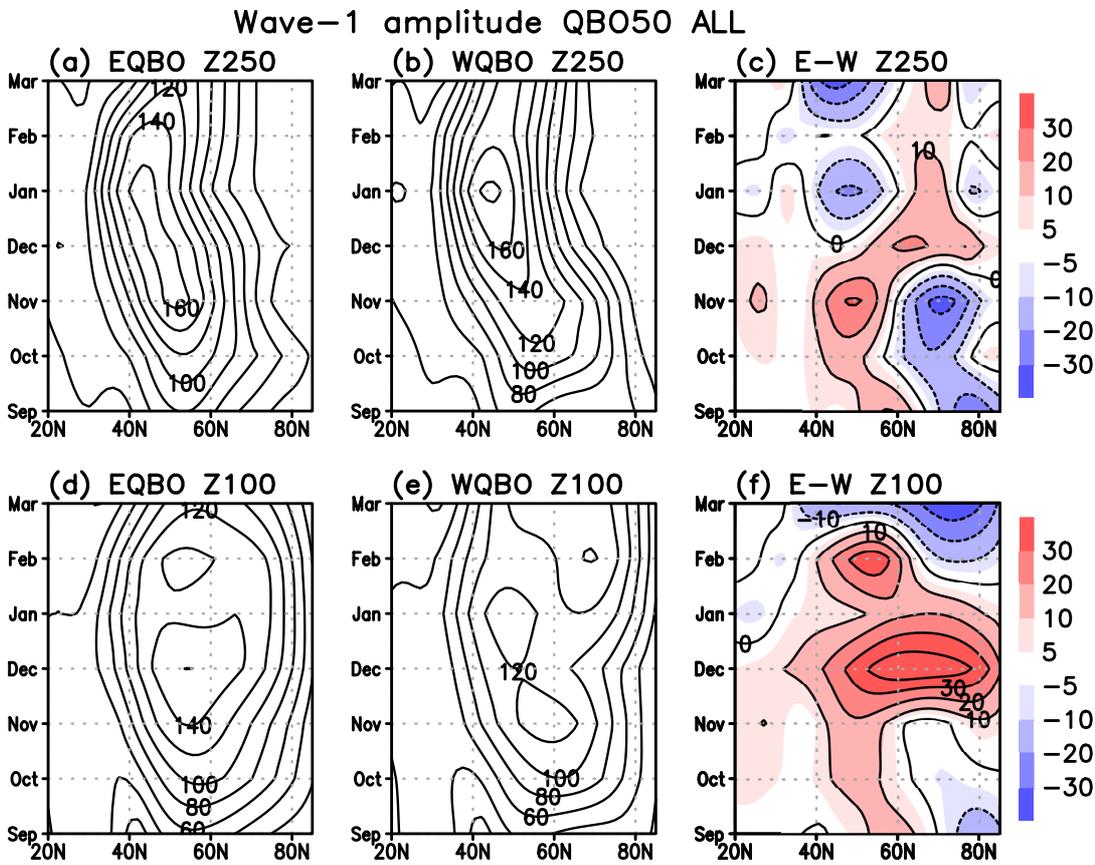


Figure 17. Latitude-month plots of observed wavenumber-1 amplitude. (a) EQBO composite at 250 hPa. (b) WQBO composite at 250 hPa. (c) Difference between EQBO and WQBO. (d)-(f) Same as in (a)-(c) but for 100 hPa. Contours in (a),(b),(d),and(e) are 20 m, and those in (c) and (f) are 10 m.

Holton, J. R., and C. Mass, 1976: Stratospheric vacillation cycles, *J. Atmos. Sci.*, 33, 2218-2225, [https://doi.org/10.1175/1520-0469\(1976\)033<2218:SVC>2.0.CO;2](https://doi.org/10.1175/1520-0469(1976)033<2218:SVC>2.0.CO;2).

Chen, M., Mechoso, C. R., and Farrara, J. D.: Interannual variations in the stratospheric circulation with a perfectly steady troposphere, *J. Geophys. Res.*, 106, 5161-5172, <https://doi.org/10.1029/2000JD900624>, 2001.

de la Cámara, A., T. Birner, and J. R. Albers, 2019: Are sudden stratospheric warmings preceded by anomalous tropospheric wave activity? *J. Climate*, 32, 7173-7189. DOI:10.1175/JCLI-D-19-0269.1.

2. L149 – it would be helpful to give some explanation of why tropopause temperature anomalies associated with the QBO would “provide favorable conditions for enhanced convective activity”, with references. Having confidence that the QBO really has the impact on tropical convection that is shown is crucial for believing the mechanism, so this would be useful.

> Thank you. Although we do not know precise mechanisms by which negative tropopause temperature anomalies provide favorable conditions for enhanced convective activity, we suspect weak stability and subsequent increase in cloudiness in the tropical tropopause layer (TTL) are the

main two key elements. In addition feedback arising from cooling in the TTL and warming in the mid-troposphere by cloud longwave forcing may further accelerate weak stability, thereby enhancing the convective activity, as noted by Giorgetta et al. (1999) for boreal summer season.

So we added the Giorgetta et al (1999) in the references and explanation is added in the revised version.

Peña-Ortiz et al (2019) examined QBO influence the tropical convection and showed QBO modulation of the tropical convection that impacts stationary waves and the polar vortex of the austral winter of the southern hemisphere.

We added this paper in Introduction and references.

Giorgetta, M. A., Bengtsson, L., and Arpe, K.: An investigation of QBO signals in the East Asian and Indian monsoon in GCM experiments, *Climate Dyn.*, 15, 435-450, 1999.

Peña-Ortiz, C., Manzini, E., and Giorgetta, M.: Tropical deep convection impact on southern winter stationary waves and its modulation by the Quasi-Biennial Oscillation, *J. Climate*, 32, 7453-7467. DOI: 10.1175/JCLI-D-18-0763.1, 2019.

3. The authors note that the impact of the QBO on tropical convection is associated with a changed strength of the Walker circulation. Misios et al. (2019, “Slowdown of the Walker circulation at solar cycle maximum”, PNAS) found that there is an impact of the solar cycle on the Walker circulation, so this could be a confounding factor. It would make sense to check that the impact of the QBO on tropical convection found here is not dependent on the solar cycle phase.

> Thank you for the comment on solar cycle. Given possible compounding influences we further examined solar cycle modulation of the QBO impact on tropical convection found in our paper. The following is the results of our analysis which show only small impacts from the solar cycle and the robustness of our main conclusions. We added the analysis in the revised version as Section 3.7 and figures in Appendix as Figs. A2 and A3.

For the analysis we used time-series of the monthly and Nov-Feb mean sunspot number. The sunspot number data have been obtained from the World Center for Sunspot Index and Long-term Solar Observation (WDC-SILSO), Royal Observatory of Belgium, Brussels (<http://www.sidc.be/silso/datafiles>; Clette et al. 2014).

We added Section 3.7 as follows

3.7 Modulation by 11-year solar cycle

It has been known that the Holton-Tan relation is modified by the 11-year solar cycle (Labitzke, 2005, and references therein). Recently, Misios et al. (2019) provided strong evidence for weakened Walker circulation at the solar maximum. Recognizing possible compounding influences by the solar cycle on the QBO impact on tropical convection and extra-tropical circulation anomalies as discussed in our paper so far, we have made additional composite analysis as follows.

We used the Nov-Feb mean sunspot number as a solar index (SSN; Fig. A2), whose average value is 92.2. Winters above (SSN>92.2) and below (SSN<92.2) the average are classified as solar

max and solar min winters, respectively. We also divided winters into EQBO, WQBO composites, and other winters as described in Section 2.2 (see Table A1 for the sample size of each category). As identified in Misios et al. (2019), the solar impacts on convective activity thus the Walker circulation have one to two years of time lag through the bottom-up mechanism. We thus shifted by one year when classifying solar max and min winters. This sampling scheme provides consistent results with theirs on the solar influence, i.e. stronger Walker circulation at solar minimum seen in Figure A3c.

The QBO signal (EQBO minus WQBO) in OLR is stronger in the solar min years with significantly enhanced convection over the western tropical Pacific. In the solar max years, enhanced convection over the western tropical Pacific is weaker and shifts eastward slightly. Despite some differences, the QBO signal characterized by enhanced convection in the western tropical Pacific is commonly found in both solar max and min composites.

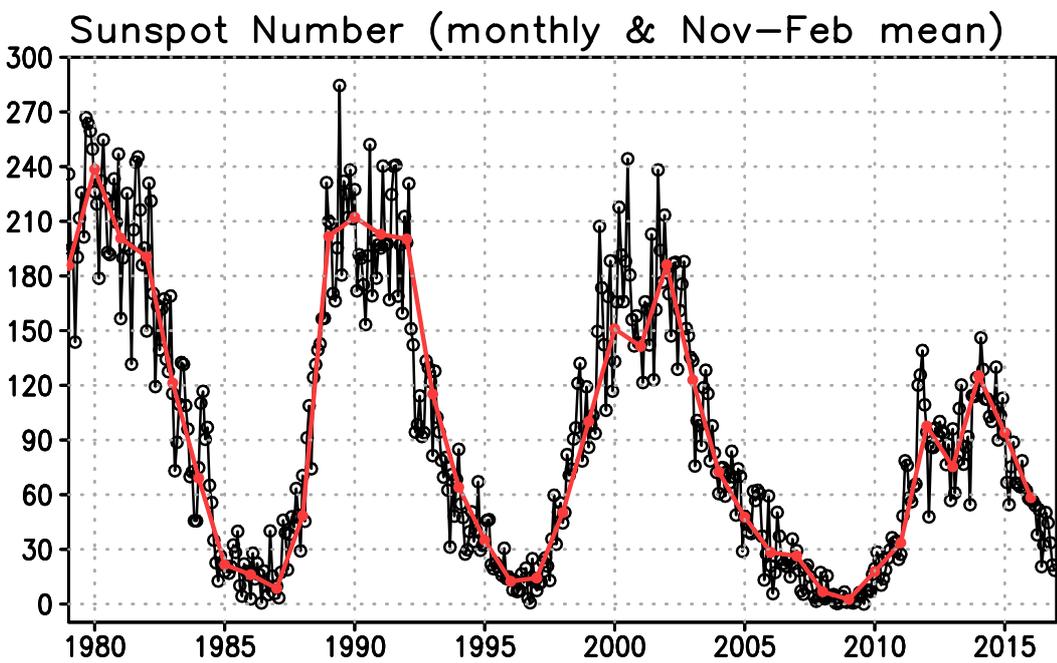


Figure RC1.1. (new Fig. A2) Monthly mean sunspot number (black with open circle) and November-February mean (red with closed circle).

Table RC1.1. Number of EQBO, WQBO, Solar max, solar min and other years

	EQBO	WQBO	Others
Solar Max	7	7	4
Solar Min	5	12	2

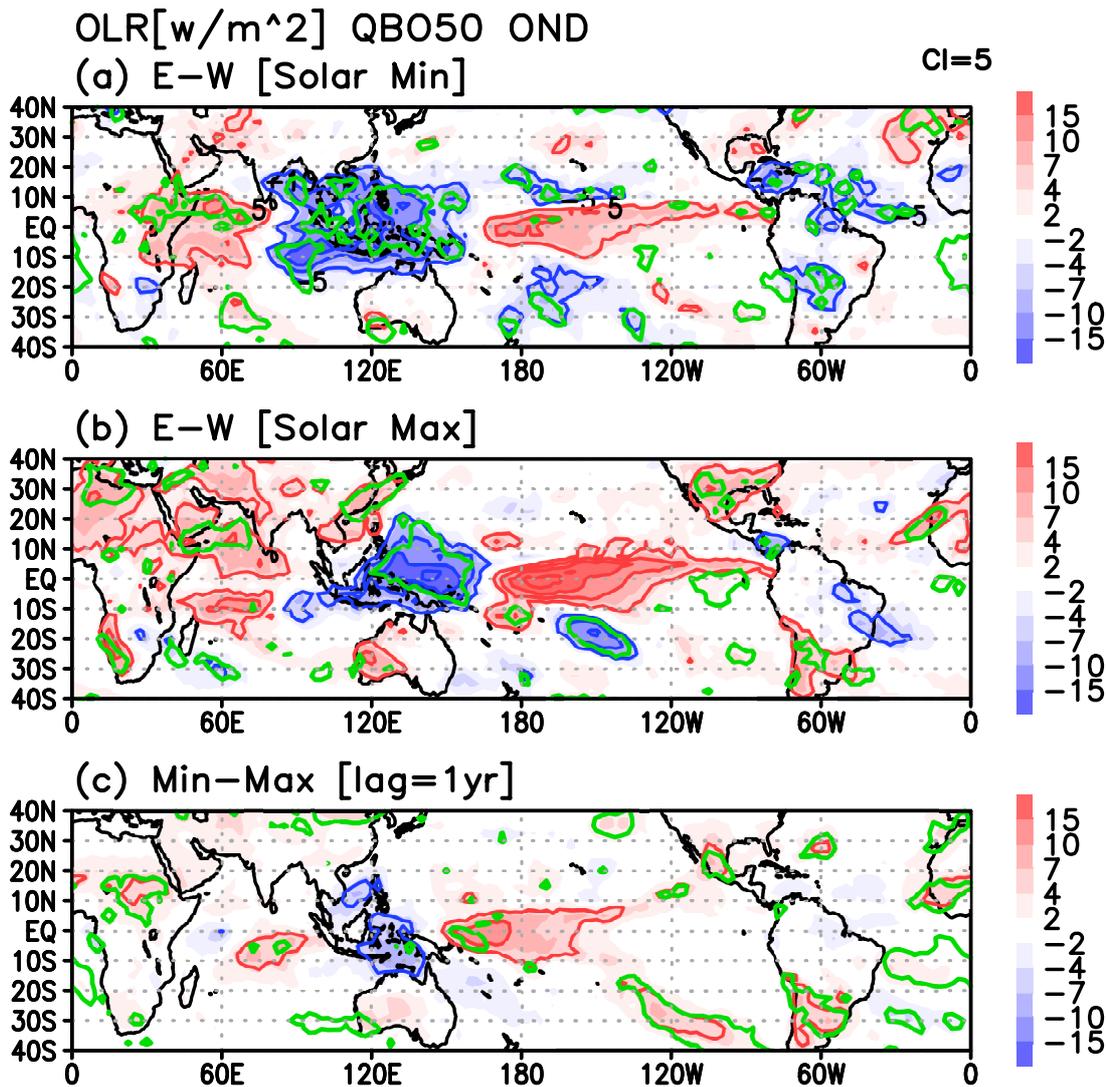


Figure RC1.2. (new Fig. A3) (a) October-November-December (OND) mean OLR differences between EQBO and WQBO winters for solar minimum winters. (b) Same as (a) but for solar maximum years. (c) OND OLR differences between solar minimum and maximum winters with 1-year lag. Green line denotes the statistically significant value at 95% confidence level.

References

Clette, F., L. Svalgaard, J. M. Vaquero, and E. W. Cliver, 2014: Revisiting the sunspot number: A 400-year perspective on the solar cycle. *Space Sci. Rev.*, 186, 35–103.

Labitzke, K., 2005: On the solar cycle-QBO relationship: a summary, *J. Atmos. Solar-Terr. Phys.* 67, 45-54.

Misios, S., L. J. Gray, M. F. Knudsen, C. Karoff, H. Schmidt, and J. D. Haigh, 2019: Slowdown of the Walker circulation at solar cycle maximum, *PNAS*, 116, 7186-7191.

4. What method is being used for the statistical significance tests? What assumptions are being made for this? What has been done to check the assumptions are reasonable? This should be

clearly explained in the text. (Personally, I think using a bootstrap method is best as it requires relatively few assumptions to be made, but another method can be used if the assumptions behind it can be justified.)

> Thank you. Throughout the manuscript we used t-statistics for all significant tests. Data is assumed to be normally distributed with no significant serial correlation. For example, auto-correlation of the OND averaged OLR over the western tropical Pacific (130-160E, 0-10N) with 1-year time lag is -0.23. Since the variation in this quantity is so central to our claim on the QBO impacts we examined its distribution (see Fig. RC1.3.) for EQBO and WQBO. The mean OND-averaged OLR for EQBO is 218.6 W/m^2 , and 229.2 W/m^2 for WQBO where the average for whole 37 years is 224.6 W/m^2 . We further employed the bootstrap method ($n=1000000$) to test its significant. The p-value is 99.97% against the observed difference of 10.58 Wm^{-2} .

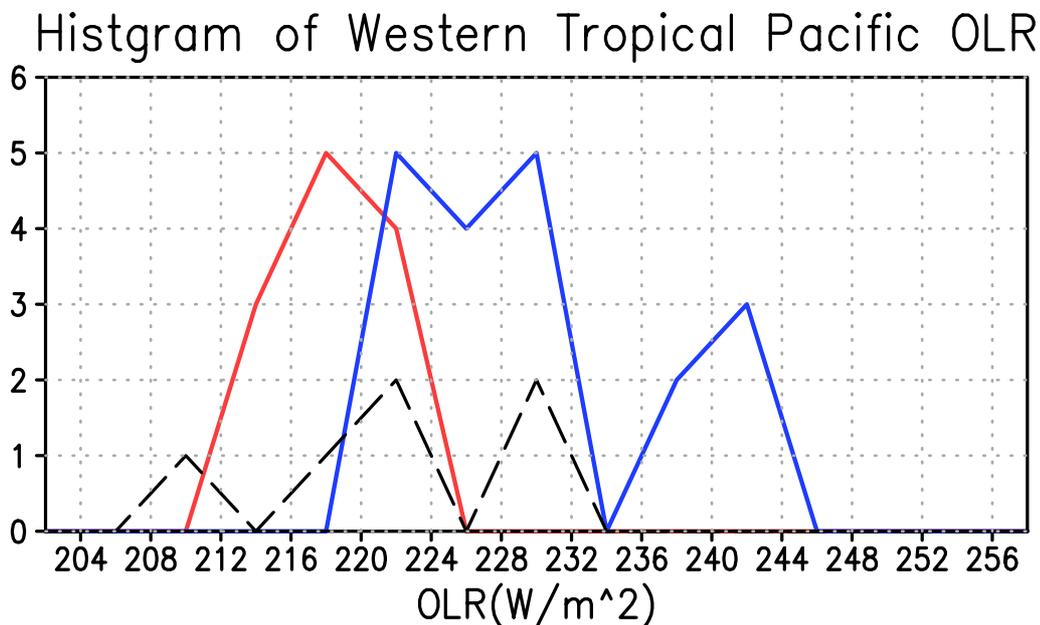


Figure RC1.3. Histogram of western tropical Pacific OLR for October-December mean. The interval of bin is 4 W/m^2 . Red line denotes EQBO winters, blue line denotes WQBO winters, and black dashed line denotes other winters.

Other comments:

1. L32-35 It should be made clear that the “Holton-Tan mechanism” is just one proposed mechanism.

> Thank you. We modified the sentence following your suggestion and review#2’s suggestion.

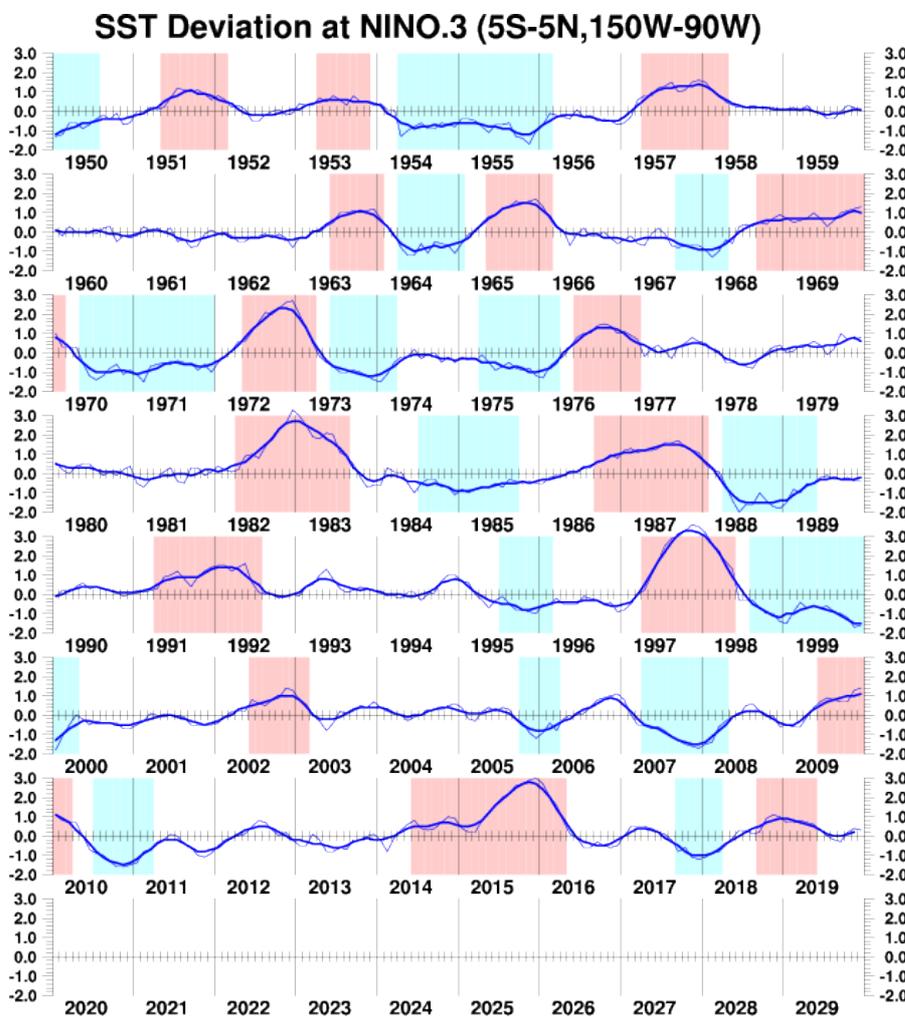
“Holton and Tan (1980, 1982) only showed a plausible mechanism, as the latitudinal position of the zero-wind critical surface of stationary Rossby wave is primarily controlled by the equatorial QBO. Recently, Watson and Gray (2014) posted this line of discussion with their model. Naoe and Shibata (2010) analyzed Holton-Tan relationship by a QBO-producing chemistry-climate model (CCM) and

reanalysis data. They showed the conventional critical latitude mechanism that the equatorial winds in the lower stratosphere acted as a waveguide for planetary wave propagation did not hold. White et al. (2015) suggested the enhanced upward wave propagation at mid-latitudes due to the enhanced wave growth rather than the critical latitude mechanism, explaining the QBO-related change in mid-latitudes as well as the polar vortex change in high-latitudes.”

2. L80 The definition of ENSO phases used by the JMA should be given for clarity.

>Thank you. “The definition of ENSO used by the JMA is based on 5-month moving averaged SST deviation from the standard value at NINO.3 (5°S-5°N, 150°W-90°W). When the SST deviation experiences more (less) than +0.5K(-0.5K) over 6 consecutive months, it is defined as El Niño (La Niña). The standard value is defined by previous 30-year mean for each month.”

Above sentences has been added. The following is the figure from JMA for reference.



El Niño (pink) and La Niña (blue) periods defined by the JMA.

3. L90 It should be made clear that the “QBO signal” refers to the EQBO minus WQBO difference (rather than the difference from climatology).

> Thank you. We added the following sentence.

“Here, the QBO-signal refers to the EQBO minus WQBO difference rather than the deviation from climatology.”

4. L104 References are given claiming to show that “the performance of the model in the stratosphere is satisfactory”, but I couldn’t see an evaluation of the stratospheric performance in any of these references. Please point out where this can be found, give a reference showing this, show data yourselves or remove this remark. (I am not too bothered about the model’s stratospheric performance on the whole – for simulating the wave forcing from the tropical convection anomaly, it is the tropospheric performance that matters most I think, and it looks adequate from the figures given – I say this just so a lot of work is not done to validate the model’s stratospheric performance.)

> Thank you. The stratospheric performance does not matter in this paper. So we deleted the sentence. Also we deleted references (Jaiser et al 2016 and Hoshi et al 2019).

5. L134-5 What’s the relevance of the remark about vertical motion near the Equator being downward?

> We would like to have shown the QBO-signal is not zonally uniform. But, it is not so relevant and showing Figs.3a and 4a is enough. So we deleted the sentence. Thank you.

6. L167-70 Plots of the wave amplitudes as a function of latitude in the different QBO phases would be helpful.

> Thank you very much for the suggestion.

Latitudinal profiles of wave-1 and wave-2 amplitudes for EQBO and WQBO are shown below (Figure RC1.4; new Figure 9). “Peak values of the wave amplitude in November increase in EQBO for both wave-1 and wave-2 and regardless of in/exclusion of ENSO years.” The figure and above sentence are added in the revised version. Also description for wave-2 was modified.

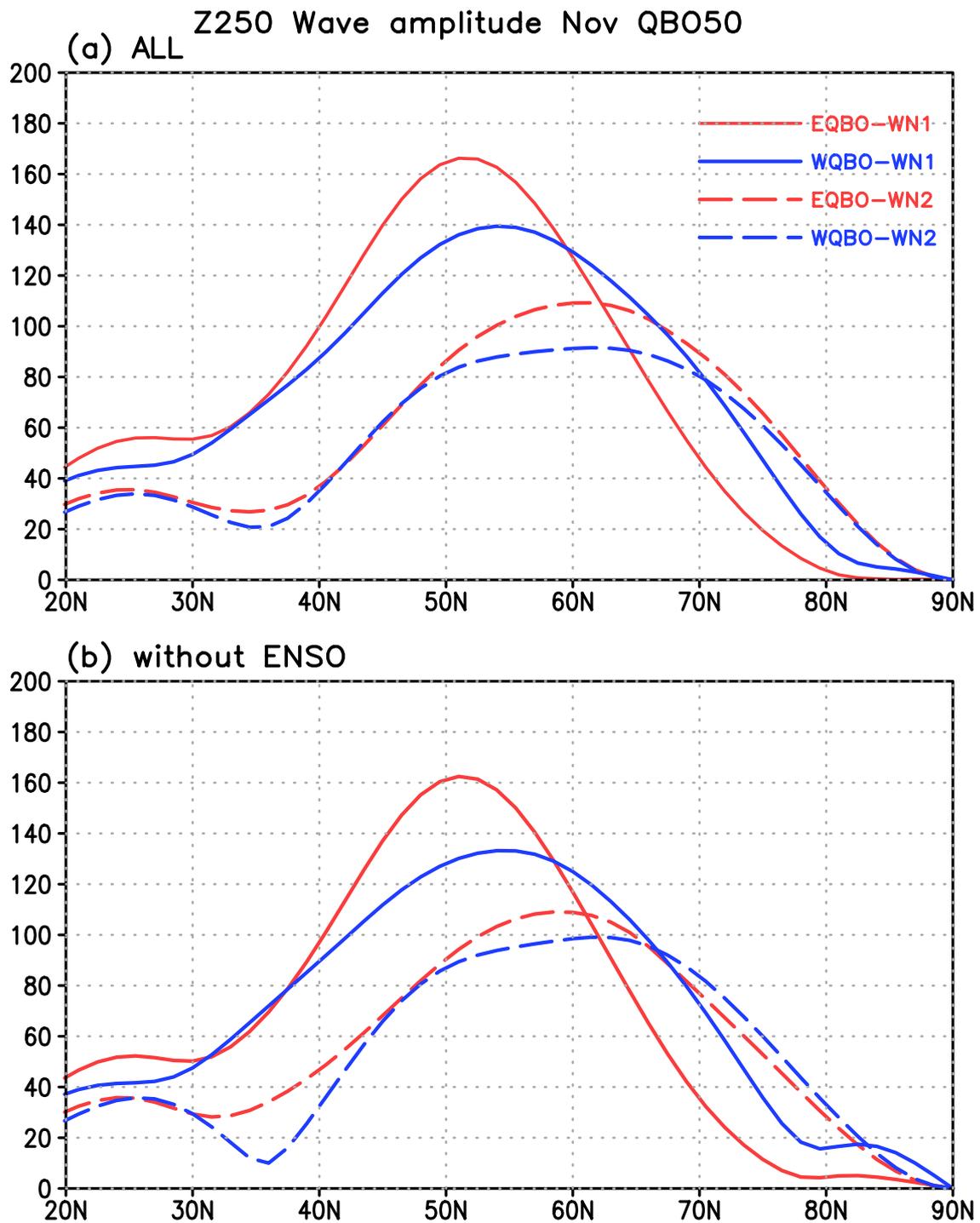


Figure RC1.4. (new Fig. 9) Wave amplitudes at 250 hPa as a function of latitude in the different QBO phases for November. Red (blue) solid line denotes wave-1 in the EQBO (WQBO) composite. Red (blue) dashed line denotes wave-2 in the EQBO (WQBO) composite. Y-axis denotes amplitude in m. (a) All composite. (b) Composite without ENSO winters.

7. L183 It seems worth noting that the wave-1 response to the convective forcing shows a large signal in the North Atlantic that is not shown in the full response in fig.9. Is the right interpretation that higher wavenumbers are cancelling out the response in the North Atlantic?

> Thank you. Indeed, the full response in (original) Fig. 9 in the North Atlantic shows positive anomalies, but the magnitude is small. On the other hand, negative anomalies over the North Pacific are large in the full response. Wave number decomposition makes wave-1 amplitude large. However, we consider the full response as more representative here, and wave-1 response is somewhat artificial, though the wave number decomposition is critical in evaluating wave propagation into the stratosphere.

8. L218-9 This could do with being more quantitative e.g. compare the simulated and observed wave-1 amplitude change averaged over 30-60N.

> Thank you for the suggestion.

Change of wave-1 amplitude average over 30-60N is as follows.

Observed E-W :	14.3 m
CONV1-CNTL:	12.0 m
CONV2-CNTL:	10.7 m

The simulated values are similar to the observed value.

We made the amplitude plot which is quite informative. We add the figure and the following text in the revised version.

“Wave amplitudes at 250 hPa for all simulations are shown in Fig. 15. Compared with the observed QBO difference (seen as EQBO minus WQBO in Fig. 9), simulated differences between CONV1 (CONV2) and CNTL are similar in magnitude and latitudinal profile. For example, simulated wave-1 amplitude averaged over 30-60°N is 12.0 m (CONV1 minus CTRL) and 10.7 m (CONV2 minus CTRL), which is in good agreement with the observed difference of 14.3 m between EQBO and WQBO. Wave-1 amplitude is also peaked at around 55°N for all cases. We also confirm that convection over the tropical western Pacific is most significant for enhanced extratropical planetary wave.”

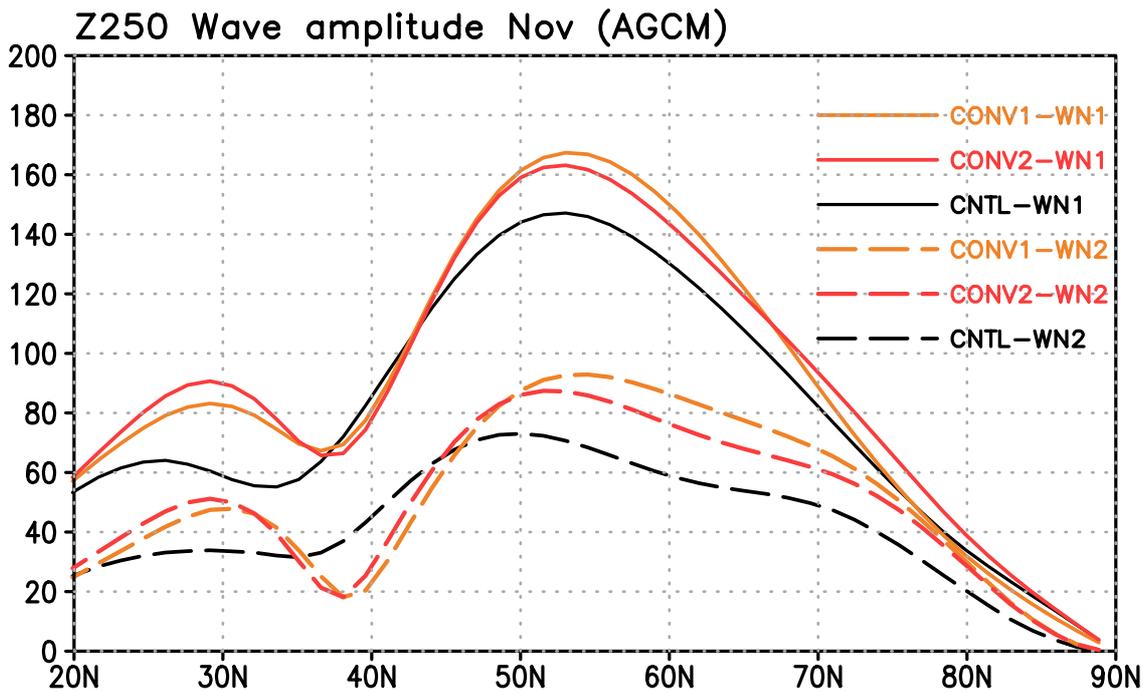


Figure RC1.5. (new Fig. 15) Latitudinal profile of the wave amplitudes at 250 hPa in AGCM simulations for November, based on 60-year mean. Black lines show the control simulation, orange lines for CONV1 simulation, and red lines for CONV2 simulation. Solid and dashed lines denote wave-1 and wave-2 components, respectively. Y-axis denotes amplitude in m.

9. L223-6 The text could do with being clearer about which results are from observations/reanalysis. (This goes for other parts of the results section as well.)

> Thank you. “Blue lines are based on reanalysis data and red lines from the simulated results.”
 We added the above sentence.
 Below sentence was added for Fig. 9.
 “Red lines are based on EQBO composites and blue lines from WQBO composites.”

10. Appendix B – is there a reference supporting this method?

> We are not aware of specific references. The method is a crude approximation. But, we think the horizontal advection is negligible and the balance between diabatic heating and vertical motion is

Reply to anonymous Referee #2

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This paper presents the equatorial QBO influences on the Northern Hemisphere winter circulation. Many previous studies focused on the stratospheric pathways of this influences, while this manuscript proposes a possible mechanism for tropospheric pathways of this influences through the modulation of Rossby wave activities induced by the QBO-related convection over the tropical western Pacific and the Indian Ocean.

This topic is interesting and valuable for this scientific area. However, there are some issues as mentioned below. For these reasons, I recommend minor revisions.

We appreciate Reviewer #2 very much for the constructive comments and suggestions, in particular for detailed comments. We have carefully incorporated comments and suggestions, which, we believe, improved the manuscript in its content and presentation. Our responses to the specific comments can be found below in black (Reviewer #2's comments and suggestions) and blue (our responses).

Minor comments:

(1) p.2, l.75: The definition of QBO is based on the absolute values of equatorial zonal wind $>3\text{m/s}$. Please check another threshold and mention it.

>Thank you for your comment.

We tried the case with the critical zonal wind speed set to 0 m/s, which gave 14 E-QBO and 23 W-QBO winters. The OLR difference is similar to the original Fig. 3a, especially one over the tropical western Pacific is robust (Fig. RC2.1 shown below).

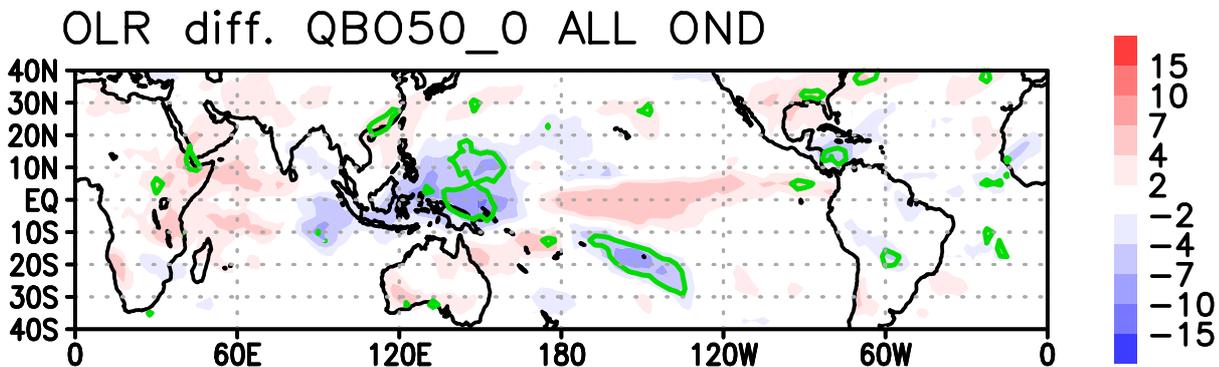


Fig. RC2.1. OND mean OLR difference between EQBO and WQBO winters. The criterion wind speed for QBO is 0 m/s.

We also examined the case in which the QBO was defined at 40 hPa with the 3m/s criterion, giving 18 EQBO and 14 WQBO winters. The number of EQBO winters is larger than that of WQBO winters. The OLR composite is also shown below (Fig. RC2.2). In both cases the results are not sensitive even when we change the QBO criterion slightly.

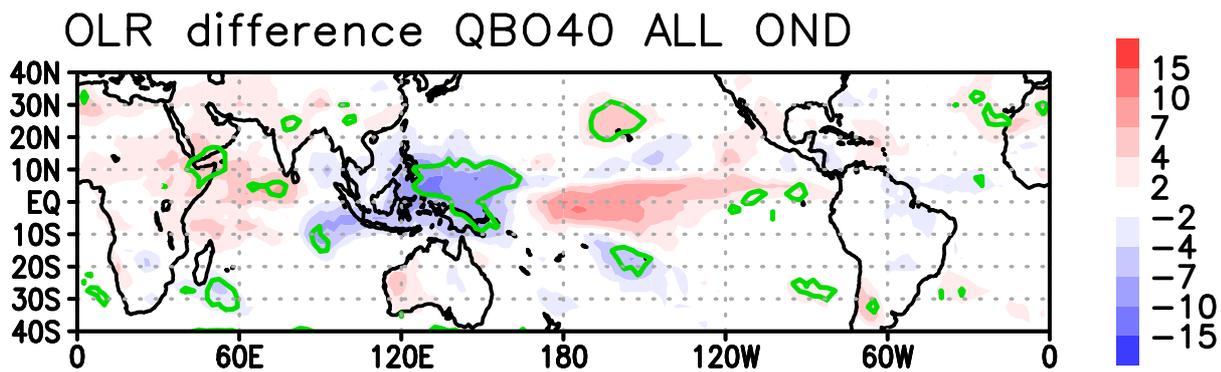


Fig. RC2.2. OND mean OLR difference between EQBO and WQBO winters. The reference height for the QBO definition is chosen at 40 hPa.

We added the following sentences at p.2, line 83.

“We also examined two cases in which we changed the threshold wind speed set to 0 m/s (14 EQBO and 23 WQBO winters) and the reference height to 40 hPa (18 EQBO and 14 WQBO winters). In both cases, the results show a high degree of robustness.”

(2) p.4, l.150: The difference between Fig. 5a and 5b indicates the influence of ENSO on the equatorial east Pacific as the downward around 150W with positive OLR in Fig. 3a. Is this interference from ENSO really ruled out in later analysis?

>We think that in the present context of the QBO impacts the resemblance between composite differences (EQBO minus WQBO) with and without ENSO (both El Nino and La Nina) events mostly ruled out possible compound influences in mid- to high-latitudes from ENSO (please see Figure 7). As you pointed out there are, however, some differences in the Walker circulation between two composite differences with and without ENSO events, especially in sinking branches (Figure 5a and b). Noting this we have made a series of AGCM experiments. In addition to CONV1 (heating in the western tropical Pacific) and CONV2 (heating in the western tropical Pacific and cooling in the tropical Indian Ocean), results from the experiments with adding negative convective heating placed in the central tropical Pacific around 150°W, 0°N (CONV3P) and in the tropical Atlantic around 30°W, 10°N (CONV3A) are analyzed.

In fact, the setting for CONV3A with two sinking branches, one in the Indian Ocean and the other in the Atlantic Ocean mimics the QBO signal without ENSO most (Fig. 5b). The mid- to high-latitudes horizontal pattern in geopotential height anomalies at 250 hPa and zonal-mean zonal wind anomalies (Fig. RC2.3) are similar to the observed QBO signal (Fig. 7b). But most significantly, those horizontal and meridional patterns are captured in all experiments including CONV1 with heating only in the western tropical Pacific. We interpret this that the western tropical Pacific is the most influential to extra-tropics and polar vortex.

Above sentences are added in the revised version.

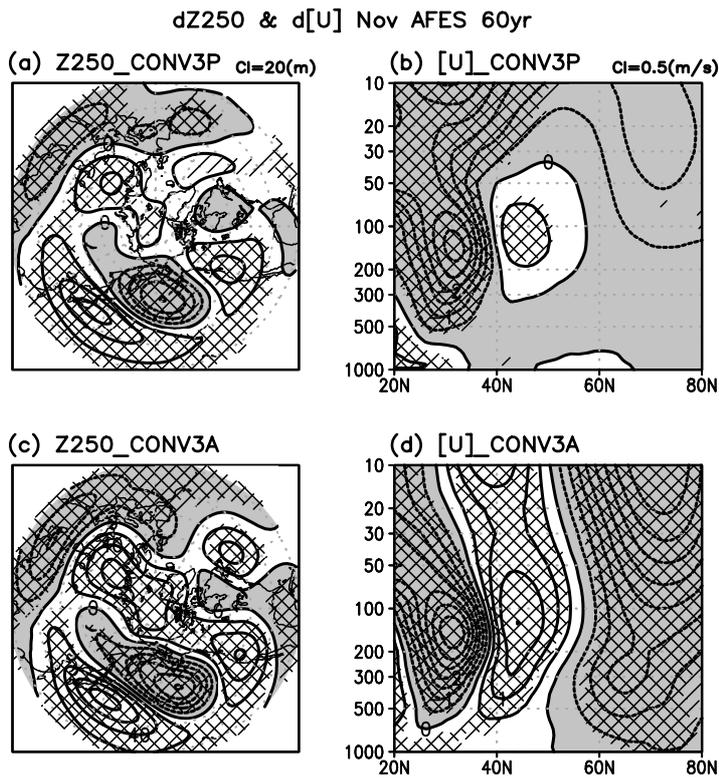
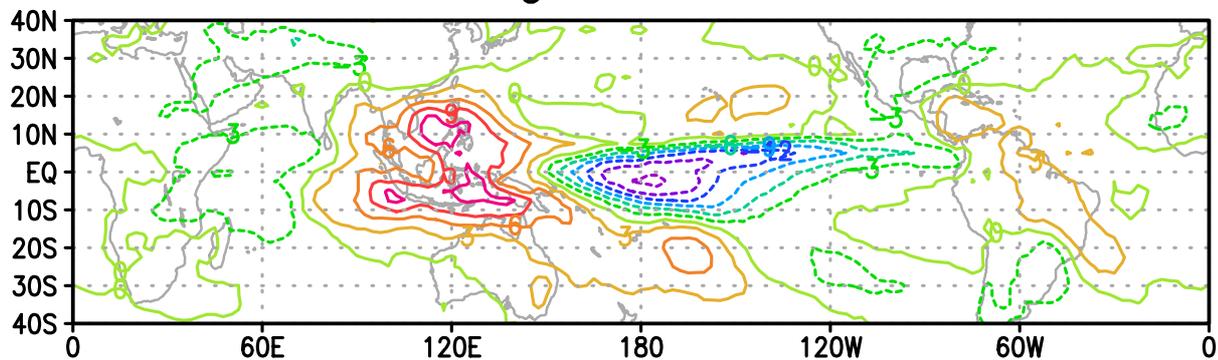


Fig. RC2.3. AGCM simulated responses of Z250 and [U]. Same as Fig. 12 but for CONV3P and CONV3A experiments.

[Following analysis was made after closing open discussion period.]

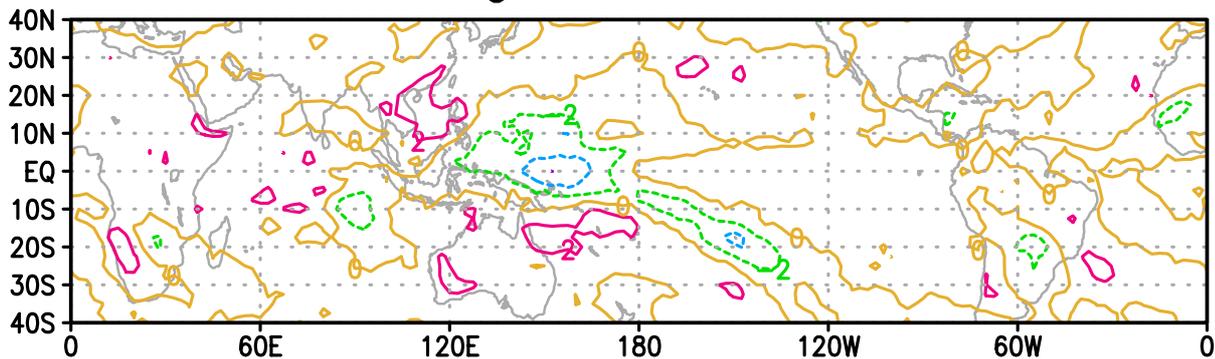
We also made a multi-regression analysis of OND-OLR using NINO3 and QBO50. The correlation coefficient between NINO3 and QBO50 is 0.22, which is not statistically significant even at 90%. Thus NINO3 and QBO50 are independent. The following are regression for NINO3 and QBO50. The OLR signal of QBO is smaller than that of ENSO. But the QBO signal is robust.

OND-OLR regressed on NINO3*SD



Partial regression coefficient of OND-OLR on normalized NINO3 index. Contour interval is 2 W/m^2 .

OND-OLR regressed on $-QB050*SD$



Partial regression coefficient of OND-OLR on normalized $-QB050$ (equatorial zonal wind at 50hPa). Contour interval is 2 W/m^2 .

(3) p.5, l.1.165-170: Some references are needed for the constructive interference between the anomalous Rossby wave response and the background climatological stationary wave. Smith et al. (2010) showed the linear interference between these waves in their model. Using reanalysis data, Garfinkel et al. (2010) showed the constructive interference between the ENSO-related anomaly and climatology, and Yamashita et al. (2015) showed this interference between the QBO/solar-related anomaly and the climatology.

The constructive interference in Smith et al. (2010) is linear process, thus, it is reasonable that the constructive interference is reproduced with the LBM.

Garfinkel, C. I., D. L. Hartmann, and F. Sassi (2010), Tropospheric precursors of anomalous Northern Hemisphere stratospheric polar vortices, *J. Climate*, 23, 3282-3299.

Smith, K. L., C. G. Fletcher, and P. J. Kushner (2010), The role of linear interference in the annular mode response to extratropical surface forcing, *J. Climate*, 23, 6036-6050.

Yamashita, Y., H. Akiyoshi, T. G. Shepherd, and M. Takahashi (2015), The combined influences of westerly phase of the quasi-biennial oscillation and 11-year solar maximum conditions on the Northern Hemisphere extratropical winter circulation, *J. Meteor. Soc. Japan*, 93, 629-644.

>Thank you for introducing appropriate references.

We added the following sentence and references.

“The linear interference between the Rossby wave response and background climatological stationary wave has been studied in previous studies, e.g. the interference between extratropical surface forcing and the annular mode (Smith et al., 2010), the tropospheric precursor and the stratospheric polar vortex (Garfinkel et al., 2010), and the solar maximum and westerly QBO (Yamashita et al., 2015).”

(4) Some modifications of introduction are needed as mentioned below.

p.1, l.35: Holton and Tan, 1980, 1982 only show a plausible mechanism, as the latitudinal position of the zero-wind critical surface of stationary Rossby wave is primarily controlled by the equatorial QBO. Recently, Watson and Gray (2014) posted this line of discussion with their model.

Watson, P.A.G., and L.J. Gray (2014) How does the quasi-biennial oscillation affect the stratospheric polar vortex?, *J. Atmos. Sci.*, 71, 391-409

> Thank you. We modified the sentence following your suggestion.

“Holton and Tan (1980, 1982) only showed a plausible mechanism, as the latitudinal position of the zero-wind critical surface of stationary Rossby wave is primarily controlled by the equatorial QBO. Recently, Watson and Gray (2014) posted this line of discussion with their model.”

p.1, l.35: “this critical latitude mechanism is not effective”: The wave propagation change between the EQBO and WQBO is similar to the previous studies in highlatitudes and around equator in Naoe and Shibata (2010)’s results, in agreement with Holton-Tan relationship. In contrast, another propagation change, which is opposite to the critical line control, is analyzed in mid-latitudes by Naoe and Shibata (2010). White et al. (2015) suggested the enhanced upward wave propagation at midlatitudes due to the enhanced wave growth rather critical latitude mechanism, explaining the QBOrelated change in mid-latitudes as well as the polar vortex change in high-latitudes.

White, I.P., H. Lu, N.J. Mitchell, and T. Phillips (2015), Dynamical response to the QBO in the northern winter stratosphere: Signatures in wave forcing and eddy fluxes of potential vorticity. *J.Atmos. Sci.*, 72, 4487-4507.

> Thank you. We modified the sentence following your suggestion.

“Naoe and Shibata (2010) analyzed Holton-Tan relationship by a QBO-producing chemistry-climate model (CCM) and reanalysis data. They showed the conventional critical latitude mechanism that the equatorial winds in the lower stratosphere acted as a waveguide for planetary wave propagation did not hold. White et al. (2015) suggested the enhanced upward wave propagation at mid-latitudes due to the enhanced wave growth rather than the critical latitude mechanism, explaining the QBO-related change in mid-latitudes as well as the polar vortex change in high-latitudes.”

p.1, l.35: “The secondary circulation associated with the QBO in the subtropics”: Naoe and Shibata (2010) and Yamashita et al. (2011) suggested the significance of the secondary circulation induced by the equatorial QBO in middle stratosphere rather lower stratosphere. In contrast, Garfinkel et al. (2012) and Lu et al. (2014) suggested the significance of the QBO-induced meridional circulation anomalies extend from the subtropics to the midlatitudes in relation to the midlatitudes change of Rossby waves due to the changes in index of refraction.

> Thank you. We modified the sentence following your suggestion.

“Naoe and Shibata (2010) and Yamashita et al. (2011) suggested the importance of the secondary circulation induced by the equatorial QBO in the middle stratosphere rather than the lower stratosphere. Garfinkel et al. (2012) and Lu et al. (2014) pointed the significance of the QBO-induced meridional circulation anomalies extending from the subtropics to mid-latitudes through changes in the refraction index and modulation of Rossby wave propagation.”

Other comments:

p.4, l.155: The middle tropospheric values of red lines (WQBO) are positive and the blue lines (EQBO) are negative in Fig. 6. Does it indicate the relatively large diabatic heating in the WQBO?

> Thank you very much. The figure caption had an error. Blue lines show WQBO and Red lines show EQBO. We corrected it.

p.6, l.210: Fig. 9a shows the dipole pattern between mid-latitudes and Polar region, while Fig. 12a shows the tri-pole pattern.

> Yes, indeed. The linear response to a tropical heating is warming of the tropical troposphere. This results in positive geopotential height anomalies in the tropics and increased subtropical westerlies. We do not know how the tri-pole pattern arises, but suspect non-linear effects.

p.5, l.200: I suppose that “no interaction between the anomalous response and climatological fields” in terms of nonlinear processes, since the LBM model has the constructive interference for linear processes only.

> Thank you. We added “anomalous” and “since the LBM has the interference for linear processes only” in that sentence.

p.6, l.215: I suppose that the constructive interference is valid, when the anomalous waves and climatological waves are in phase, as the description of wavenumber 1 field at p.5, l.170. But, their wavenumber 2 fields in Fig.8 are out of phase.

>For wavenumber 2 in Figs. 8b and d, anomalies (E-W, shade) lie east of climatological trough and ridge. We made amplitude plots as a function of latitude, following Reviewer 2’s suggestion.

Latitudinal profiles of wave-1 and wave-2 amplitudes for EQBO and WQBO are shown below (Figure RC1.2). “Peak values of the wave amplitude increase in EQBO Novembers both for wave-1 and wave-2 and regardless of all or non-ENSO composites.” The figure and above sentence are added in the revised version. Also description for wave-2 was modified.

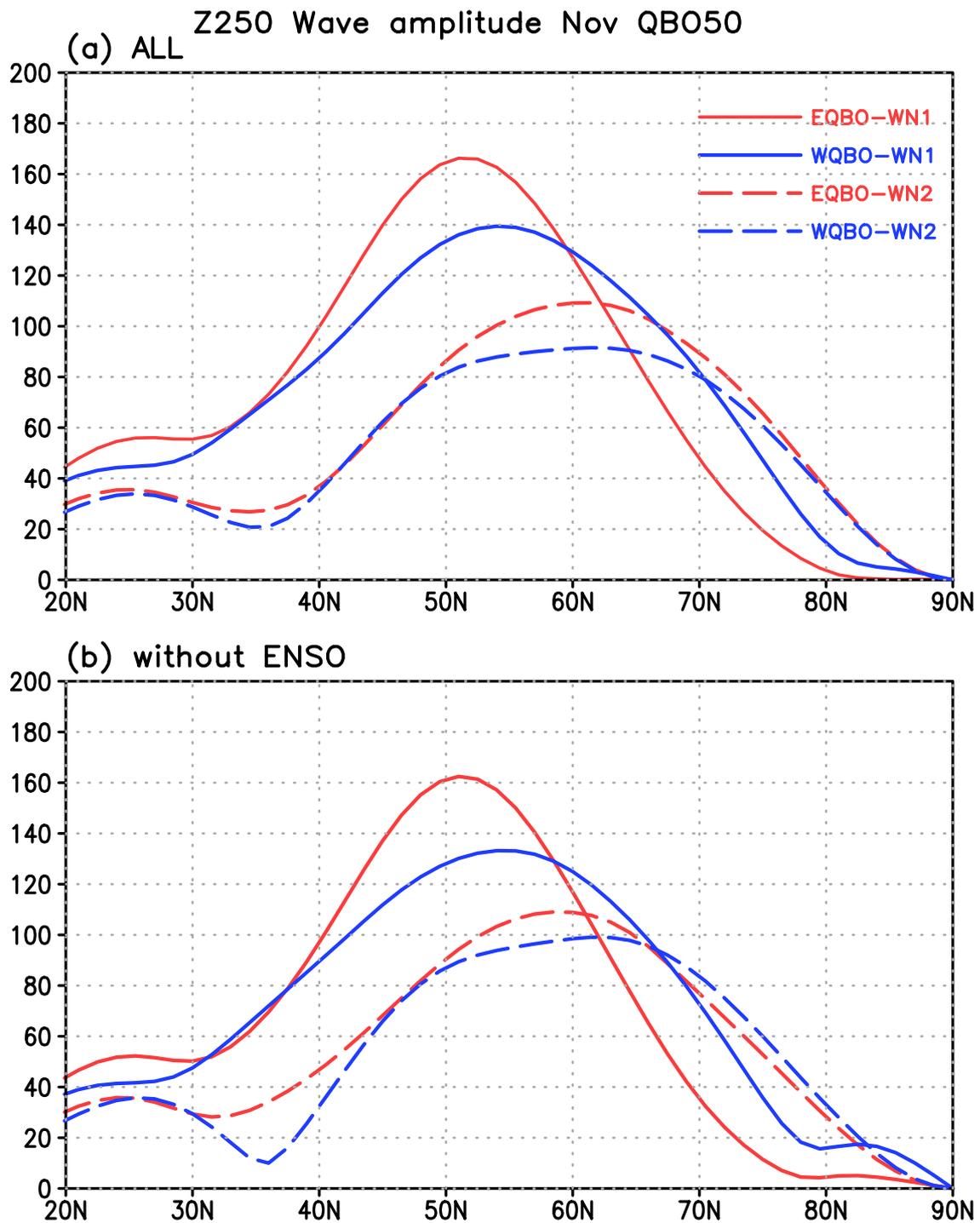


Figure RC2.4. (new Fig. 9) Wave amplitudes at 250 hPa as a function of latitude in the different QBO phases for November. Red (blue) solid line denotes wave-1 in the EQBO (WQBO) composite. Red (blue) dashed line denotes wave-2 in the EQBO (WQBO) composite. Y-axis denotes amplitude in m. (a) All composite. (b) Composite without ENSO winters.

Typos: p.1, l.35: atmospheric general circulation models (AGCMs)

> Thank you very much. We corrected it.

p.4, l.145: Fig. 4c, 5c -> Fig. 3c, 4c

> Thank you very much. We corrected it.

kept in the tropical troposphere on a monthly time scale.

A tropospheric pathway of the stratospheric quasi-biennial oscillation (QBO) impact on the boreal winter polar vortex

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Abstract. The quasi-biennial oscillation (QBO) is quasi-periodic oscillation of the tropical zonal wind in the stratosphere. When the tropical lower stratospheric wind is easterly (westerly), the winter Northern Hemisphere (NH) stratospheric polar vortex tends to be weak (strong). This relation is known as Holton-Tan relationship. Several mechanisms for this relationship have been proposed, especially linking the tropics with high-latitudes through stratospheric pathway. Although QBO impacts on the troposphere have been extensively discussed, a tropospheric pathway of the Holton-Tan relationship has not been explored previously. We here propose a tropospheric pathway of the QBO impact, which may partly account for the Holton-Tan relationship in early winter, especially in the November-December period. The study is based on analyses on observational data and results from a simple linear model and atmospheric general circulation model (AGCM) simulations. The mechanism is summarized as follows: the easterly phase of the QBO is accompanied with colder temperature in the tropical tropopause layer, which enhances convective activity over the tropical western Pacific and suppresses over the Indian Ocean, thus enhancing the Walker circulation. This convection anomaly generates Rossby wave train, propagating into the mid-latitude troposphere, which constructively interferes with the climatological stationary waves, especially in wavenumber 1, resulting in enhanced upward propagation of the planetary wave and a weakened polar vortex.

1 Introduction

25 The stratospheric quasi-biennial oscillation (QBO) is dominant interannual oscillation of the zonal wind in the stratospheric tropics with an approximate 28-month period (Veryard and Ebdon, 1961; Reed et al., 1961; Baldwin et al., 2001). The influence of QBO on the winter Northern Hemisphere (NH) stratospheric polar vortex has been well known (Holton and Tan, 1980, 1982; Anstey and Shepherd, 2014). When the tropical lower stratospheric wind is easterly (EQBO) the winter NH polar vortex tends to be weak, and the vortex tends to be strong when the tropical lower stratospheric wind is westerly (WQBO). This relation is called the Holton-Tan relationship (Holton and Tan, 1980, 1982), for which several mechanisms have been proposed in terms of the stratospheric linkages between the tropics and high-latitudes (Anstey and Shepherd, 2014). In the EQBO winters, the westerly region in the lower stratosphere is limited poleward of around 20°N so that the waveguide for quasi-steady planetary waves becomes narrower. Thus the planetary waves tend to propagate more poleward and weaken the polar vortex. On the other hand, in the WQBO winters, the westerly region extends more to the tropics, and thus planetary waves tend to propagate more equatorward. [Holton and Tan \(1980, 1982\) only showed a plausible mechanism, as the latitudinal position of the zero-wind critical surface of stationary Rossby wave is primarily controlled by the equatorial QBO. Recently, Watson and Gray \(2014\) posted this line of discussion with their model. Naoe and Shibata \(2010\) analyzed Holton-Tan relationship by a QBO-producing chemistry-climate model \(CCM\) and reanalysis data. They showed the conventional critical latitude mechanism that the equatorial winds in the lower stratosphere acted as a waveguide for](#)

40 planetary wave propagation did not hold. White et al. (2015) suggested the enhanced upward wave propagation at mid-
latitudes due to the enhanced wave growth rather critical latitude mechanism, explaining the QBO-related change in mid-
latitudes as well as the polar vortex change in high-latitudes. Naoe and Shibata (2010) and Yamashita et al. (2011) suggested
45 the importance of the secondary circulation induced by the equatorial QBO in the middle stratosphere rather than the lower
stratosphere. Garfinkel et al. (2012) and Lu et al. (2014) pointed the significance of the QBO-induced meridional circulation
anomalies extending from the subtropics to mid-latitudes through changes in the refraction index and modulation of Rossby
wave propagation.

50 The Holton-Tan relation has been the subject of many observational and modelling studies, yet its underlying mechanism
may not be so completely understood (Anstey and Shepherd, 2014). The mechanisms mentioned above are processes
linking the equatorial stratosphere to the polar stratosphere through the stratosphere, thus referred to as the stratospheric
pathway in this study.

The influence of the QBO on the troposphere has been also the subject of many studies (Baldwin, 2001; Marshall and
Scaife, 2009; Gray et al., 2018). In the EQBO winters, planetary wave in the troposphere especially of wavenumber 1 is
enhanced compared with the WQBO years in mid- to high-latitudes (Baldwin and Dunkerton, 1991; Hu and Tung, 2002,
Ruzmaikin et al., 2005; Naoe and Shibata, 2010). This has been interpreted as a stratospheric influence on the troposphere,
55 by changing stratospheric zonal wind distribution from the tropics to high-latitudes, then changing propagation property of
the stratosphere. Previous studies have reported that the tropical convection is also affected by the QBO phase (Collimore et
al., 2003; Liess and Geller, 2012; Gray et al., 2018). Particularly, the impact of the QBO on the Madden-Julian oscillation
(MJO) (Madden and Julian, 1994) has been extensively examined in recent years (Yoo and Son, 2016; Son et al., 2017;
Marshall et al., 2017; Nishimoto and Yoden, 2017; Martin et al., 2019; Hood et al., 2020). In the EQBO winters the MJO is
60 more active compared with the WQBO winters. By using a local cloud-resolving WRF model, Martin et al (2019) showed
that the colder temperature anomaly in the tropical tropopause layer (Fueglistaler et al., 2009) associated with the EQBO
phase is an essential factor for enhancing tropical deep convection. Those results potentially suggest that resultant changes in
the tropical convection from the QBO may also influence high-latitude circulations, namely the extra-tropical planetary-scale
wave field and the stratospheric polar vortex strength, through tropospheric processes. Peña-Ortiz et al (2019) examined
65 QBO influence the tropical convection and showed QBO modulation of the tropical convection that impacts stationary
waves and the polar vortex of the austral winter of the southern hemisphere. However, such a tropospheric pathway for the
Holton-Tan relation in the Northern Hemisphere has not been studied.

In this study, we present evidence for a possible mechanism of the tropospheric pathway for the Holton-Tan relationship
through the following process. 1) The QBO affects tropical convection. 2) The tropical convection then affects mid-latitude
70 planetary waves. 3) Finally the upward planetary waves propagation to the stratosphere is modified. Although there have
been many studies discussing on each of those processes, our aim is to provide a synthetic view on potential QBO influences
through a tropospheric pathway by analyzing observations and results from a simple linear model and AGCM simulations. It
should be noted that we intend to argue for a tropospheric process for the mechanism of Holton-Tan relation and QBO
influence on NH weather in early winter, but not to deny a role of the stratospheric pathway.

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削除: This critical latitude mechanism was proposed in early days (Holton and Tan, 1980, 1982). QBO-producing atmospheric circulation models (AGCMs) suggest that this critical latitude mechanism is not effective (Naoe and Shibata, 2010).

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削除: The secondary circulation associated with the QBO in the subtropics (Plumb and Bell, 1982) is suggested to be important for the Holton-Tan relation (Yamashita et al., 2011; Garfinkel et al., 2012; Lu et al., 2014).

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削除: There is yet another study, examining a transient response, argues that the critical latitude mechanism has a role in the Holton-Tan relation (Watson and Gray, 2014).

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2 Data and methods

2.1 Data and analyses

We used 6-hourly and monthly-mean atmospheric variables from the ERA-interim reanalysis data (Dee et al., 2011), at a 1.5° horizontal resolution and 37 vertical levels (1000–1 hPa). We also used monthly-mean outgoing long-wave radiation (OLR) data from the National Oceanic and Atmospheric Administration (NOAA) interpolated OLR site (https://www.esrl.noaa.gov/psd/data/gridded/data.interp_OLR.html), at a 2.5° horizontal resolution. Both datasets were analysed from 1979/80 to 2015/16 (37 boreal winter seasons). The Eliassen-Palm (EP) flux (Andrews and McIntyre, 1976) values were calculated from the 6-hourly data. [The sunspot number data have been obtained from the World Center for Sunspot Index and Long-term Solar Observation \(WDC-SILSO\), Royal Observatory of Belgium, Brussels \(<http://www.sidc.be/silso/datafiles>; Clette et al. 2014\).](#)

2.2 Definition of the phase of the QBO

The phase of the QBO was defined using the winter (DJF) averaged zonal-mean zonal wind at 50 hPa averaged over 5°S to 5°N. The winters were classified as WQBO or EQBO winters when the absolute values exceeded 3 m s⁻¹. If the direction of the equatorial 50 hPa zonal wind changed during winter, we excluded that winter. These criteria resulted in 19 WQBO and 12 EQBO winters, respectively. The analysis was based on composite analysis for EQBO and WQBO winters. Recognizing high frequencies of La Niña and El Niño events defined by the Japan Meteorological Agency (JMA) in the EQBO and WQBO winters, respectively, we also made the composite analysis in which ENSO (El Niño and La Niña) winters were excluded (see Table 1). [The definition of ENSO used by the JMA is based on 5-month moving averaged SST deviation from the standard value at NINO.3 \(5°S-5°N, 150°W-90°W\). When the SST deviation experiences more \(less\) than +0.5K\(-0.5K\) over 6 consecutive months, it is defined as El Niño \(La Niña\). The standard value is defined by previous 30-year mean for each month.](#) Without ENSO winters, we have 9 WQBO and 7 EQBO winters (see Table 1). In the following, the analyses with and without ENSO winters are shown and discussed. [We also examined two cases in which we changed the threshold wind speed set to 0 m/s \(14 EQBO and 23 WQBO winters\) and the reference height to 40 hPa \(18 EQBO and 14 WQBO winters\). In both cases, the results show a high degree of robustness.](#)

2.3 Linear model experiments

Atmospheric response to a prescribed diabatic heating was calculated by a linear baroclinic model (LBM) (Watanabe and Kimoto, 1999, 2000) for a given climatological basic state and a thermal forcing. The LBM is a diagnostic tool used to simulate a linear tropospheric response to an anomalous forcing (e.g., Otomi et al., 2013). We used a spectral resolution of T42 with 20 vertical layers. In an experiment, the vertical maximum of the heating is placed at 500 hPa with a maximum heating rate of 1 K/day, which is comparable with an actual QBO-signal. [Here, the QBO-signal refers to the EQBO minus WQBO difference rather than the deviation from climatology.](#) The extent of the horizontal heating domain is 40° in longitude and 12° in latitude, and the magnitude of heating linearly decreases to the domain boundary (see Appendix A in detail). The basic state is based on the monthly climatology (averaged 1979–2010) from the National Centers for Environmental Prediction–National Center for Atmospheric Research (NCEP–NCAR) reanalysis (Kalnay et al., 1996). Note that the linear response by the LBM is only meaningful in the middle troposphere to the lower stratosphere, because temperature and wind of the response in near-surface levels and above the middle stratosphere are strongly damped to zero with a time scale of about 1 day.

2.4 AGCM experiments

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下へ移動 [1]: The statistical significance was calculated using the Student's *t* test for the composite difference.

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135 An AGCM used in this study is the AGCM for the Earth Simulator (AFES) (Ohfuchi et al., 2004) version 4.1 with triangular
truncation at horizontal wavenumber 79, and with 56 levels and the top level of about 0.1 hPa (T79L56). The AFES version
4.1 was used for studying impacts of sea ice on mid-latitude climate and its stratospheric role (Nakamura et al., 2015, 2016).
140 As the boundary condition, we used monthly mean data from the Merged Hadley–NOAA/Optimum interpolation (OI) sea
surface temperature (SST) dataset (Hurrell et al., 2008). The 30-year average of 1981-2010 was used as the prescribed SST
for three types of simulations. One is a “Control” experiment, in which the AFES model was integrated for 60 years with the
climatological boundary conditions. The second simulation is a “CONV1” experiment, in which anomalous convective
145 heating was placed over the western tropical Pacific centered at 150°E, 5°N. The third simulation is a “CONV2”, in which
anomalous convective cooling was placed over the Indian Ocean centered at 70°E, 5°N, together with the western Pacific
anomalous heating of CONV1. The CONV1 and CONV2 have 60 ensembles of a 1-year integration branched from 1 July in
each year of the Control experiment.

2.5 Analysis method and statistical significance

For observational analyses for OLR and other meteorological fields, we used composite analyses based on the QBO phase.
150 The statistical significance was calculated using the two-sided Student’s *t* test for the composite difference. For AGCM
experiments, the difference between CONV1 (CONV2) and Control experiment averaged over 60 years was analysed. The
statistical significance was calculated using the two-sided Student’s *t* test for the difference.

3 Results

3.1 Reconfirmation of the Holton-Tan relationship

155 Fig.1 confirms the extratropical QBO signal (EQBO minus WQBO) in composite differences in zonal wind and temperature
fields, which is robust even if we exclude ENSO winters (Fig. 2). The timeseries of extratropical QBO signal for the zonal
mean zonal wind ([U]) at 60°N indicates deceleration in mid-November till late January for both all and without ENSO
160 winters (Fig. 1a and Fig. 2a). Three-month (November-January) mean difference of [U] shows statistically significant
negative signals at the mid- to high-latitude in the stratosphere for both composite cases (Fig. 1b and Fig. 2b), and extending
into the troposphere around 60°N for the without-ENSO case (Fig. 2b). The maximum value of [U] signal reaches -10 m/s
at around 10 hPa, 65°N for both cases. The zonal mean temperature ([T]) shows warm Arctic signals in thermal valance with
[U] signal (Fig. 1c and Fig. 2c). Notably, the tropical temperature in the layer from 50 to 120-hPa shows a statistically
165 significant cold signal, which is balanced with negative vertical [U] shear (Plumb and Bell, 1982).

EP flux difference shows the poleward QBO signals from the equator to mid-latitudes in the upper troposphere (arrows in
Fig. 1b and Fig. 2b). The upward QBO signals from the mid-latitude troposphere into the high-latitude stratosphere are also
seen. Although previous studies (e.g. Naoe and Shibata, 2010; Yamashita et al., 2011) have noticed this feature, they focused
more on mid-winter characteristics of circulation anomalies. Instead, we shall examine the tropical convective activity in
170 early winter by recognizing the tropics as an origin of this QBO signal in the poleward and upward flux.

3.2 QBO signal on the tropical convection and circulation

175 The OLR difference of the QBO signal (EQBO minus WQBO) in early winter (OND) shows prominent negative signals
over the tropical western Pacific and the South Pacific Convergence Zone (SPCZ), denoting enhanced convective activity
there (Fig. 3a and Fig. 4a). The OLR signal also shows suppressed convective activity over the Indian Ocean. Those QBO-

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related convective features do not change even if ENSO winters are excluded (Fig. 3a and 4a), although the suppressed convection over the central to eastern equatorial Pacific appears for the ENSO-included case due to more La Nina cases in the EQBO composite (Table 1).

The relationship between the QBO and tropical deep convection has been studied in previous studies (Collimore et al., 2003; Liess and Geller, 2012; Gray et al., 2018; Martin et al., 2019). For example, Collimore et al. (2003) studied the relationship between the QBO and tropical convection by analyzing observations of highly reflective cloud and the OLR, obtaining similar results to ours. Martin et al. (2019) examined the impact of the QBO on the local convection using a regional cloud-resolving model, and found that the cold temperature near the cloud top enhances the tropical convection. From those previous works and present analyses, we suggest the following scenario. At the tropical tropopause (around 100 hPa), the western Pacific is climatologically the coldest region in the tropics (Fig. 3b and 4b). SST being the highest over this region, and near tropopause-level temperature anomalies in the EQBO winters (Fig. 3c, 4c) likely provide favorable conditions for enhanced convective activity. Although we do not know precise mechanisms by which negative tropopause temperature anomalies provide favorable conditions for enhanced convective activity, we suspect weak stability and subsequent increase in cloudiness in the tropical tropopause layer (TTL) are the main two key elements. In addition feedback arising from cooling in the TTL and warming in the mid-troposphere by cloud longwave forcing may further accelerate weak stability, thereby enhancing the convective activity, as noted by Giorgetta et al. (1999) for boreal summer season.

The enhanced convection over the tropical western Pacific is accompanied by suppressed convection over the western Indian Ocean, where the downward branch of Walker circulation lies. Indeed, the longitude-height section of circulation anomalies (EQBO-WQBO) at the equatorial belt (10°S-10°N) clearly indicates the enhancement of the Walker circulation with an upward branch over the tropical western Pacific (120°E-170°E) and a compensating downward branch over the Indian Ocean (40°-90°E) in early winter (Fig. 5).

Next, we compare diabatic heating between the EQBO and WQBO winters over the tropical western Pacific (130°E-160°E, 0°-10°N) from the conservation law of potential temperature using the ERA-Interim data (Fig. 6). Detailed calculation method is shown in Appendix B. Diabatic heating in the EQBO years is larger than that in the WQBO years during the October-December period with or without ENSO years. The difference becomes most prominent in the middle troposphere in November. The maximum difference is about 1 K/day and is statistically significant in the case of with ENSO years, and nearly significant without ENSO years.

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3.3 QBO signal on the extra-tropical circulation in November

Hereafter we focus on November because the tropospheric pathway is most clearly seen in November, which will be shown in Fig. 16. The QBO signal on the geopotential height at 250 hPa (Z250) is shown in Fig. 7. At the upper troposphere, the troughs over Siberia and over the North Pacific are seen both with and without ENSO years. In particular, a trough over Siberia is significant (Fig. 7a and 7c). The stratospheric polar vortex is weakened in EQBO Novembers, though the signal is not significant in without ENSO Novembers.

When the QBO signal (EQBO minus WQBO) in Z250 is decomposed into its wavenumber components (Fig. 8a and 8c), a pair of negative and positive anomalies appear over climatological trough and ridge regions in the mid-latitude (around 50°N) for the wavenumber 1, implying intensified upper tropospheric planetary waves for EQBO. For wavenumber 2, interference shifts wavenumber 2 field eastward and slightly enhances the amplitude (Fig. 8b and 8d). Fig. 9 shows wave amplitudes at 250 hPa as a function of latitude in the different QBO phases. Red lines are based on EQBO composites and blue lines from WQBO composites. Peak values of wave amplitude increase in EQBO Novembers both for wave-1 and wave-2 and regardless of all or non-ENSO composites. The linear interference between the Rossby wave response and background climatological stationary wave has been studied in previous studies, e.g. the interference between extratropical

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[surface forcing and the annular mode \(Smith et al., 2010\)](#), [the tropospheric precursor and the stratospheric polar vortex \(Garfinkel et al., 2010\)](#), and [the solar maximum and westerly QBO \(Yamashita et al., 2015\)](#).

3.4 Response of NH mid-latitude to the tropical convection –LBM experiments

240 We next used the LBM to attempt to link the above mentioned circulation signal to the tropical convective heating signal. The heating distribution is shown in Appendix A. The simulated linear response of the geopotential height at 250 hPa (Z250) to an anomalous heating placed over the western tropical Pacific (150°E, 5°N) under the November climatological condition is characterized by a decreased height over the northwest Pacific, and strengthened subtropical jet around 35°N and weakened polar jet in the troposphere and the lower stratosphere (Fig. 10a and 10b). The simulated Z250 linear response to
245 an anomalous cooling placed over the western Indian Ocean (70°E, 5°N) shows a wavy pattern over the Pacific and positive anomalies over Canada and western Russia (Fig. 10c). The both subtropical and polar night jets are weakened (Fig. 10d). The combined response of the above pair is a pronounced wave pattern over the Pacific-North America sector with negative response extending into east Siberia (Fig. 10e). The high-latitude jet in the troposphere and the lower stratosphere are reduced (Fig. 10f) similar to the observed QBO signal (Fig. 7).

250 Fig. 11 illustrates the negative anomalies centred over the northwest Pacific from the wave number 1 component of the linear response, which constructively interfere with the climatological trough (Fig. 11a and 11c). For wavenumber 2, the linear responses are shifted eastward against the climatological field (Fig. 11b and 11d). This linear response deepens the Pacific trough and enhances the Atlantic ridge, thus providing a favourable tropospheric condition for the stratospheric polar vortex weakening (e.g., Garfinkel et al., 2010), especially for the stratospheric sudden warming later propagating to the troposphere (Nakagawa and Yamazaki, 2006). In summary, the anomalous convective heating over the tropical western Pacific generates the wavenumber 1 anomaly in the NH extratropics, which is constructive to the climatological wavenumber 1 field.

Where is a preferable location of convection to interfere constructively with the NH climatological eddy field? To address this question we placed a convective heating (see Section 2.3 in details) at a 20° interval in longitude, and a 15° interval in
260 latitude, and calculated spatial correlations between the linear responses and the climatological eddy fields poleward of 40°N. This correlation map was made for wavenumbers 1 and 2 and from October to December, separately. At 250 hPa (Fig. 12), convection over the Pacific region gives rise to strong constructive interference with the NH climatological eddy field. In particular, the western tropical Pacific is the most preferable location for the constructive interference, especially for November and wavenumber 1. For wavenumber 2, convection over the western tropical Pacific also works as a constructive
265 player from October to December.

The above LBM-based linear analysis provides qualitatively consistent results with the observed QBO signal. However, the response is one order of magnitude weaker than the observed QBO signal. This is probably because the LBM calculation includes no interaction between the anomalous response and climatological fields, no stratosphere-troposphere coupling, nor feedbacks from transient eddies, [since the LBM has the interference for linear processes only](#). To attempt to further elucidate
270 the role of the tropical convection induced by the QBO, we performed the AGCM simulations.

3.5 Response of NH mid-latitude to the tropical convection –AGCM experiments

Two AGCM experiments were made in addition to a control experiment. One is the response to anomalous tropospheric heating over the western tropical Pacific (CONV1), and the other is the response to the pair of heating over the western tropical Pacific and cooling over the Indian Ocean (CONV2). These heating anomalies are related to the QBO signals in the OLR both for all and without-ENSO cases (Fig. 3a and 4a).

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295 The NH extratropical response is shown in Fig. 13, which can be compared with Fig. 7. The November response of Z250 by the AGCM is similar to that by the LBM (Fig. 10) but with increased magnitude. The same as in the LBM case, the eddy response of Z250 is similar to the eddy climatology from the AGCM control run (Fig. 14), implying constructive interference of the response from the tropical convection with the climatological eddy field. Wave amplitudes at 250 hPa for all simulations are shown in Fig. 15. Compared with the observed QBO difference (seen as EQBO minus WQBO in Fig. 9), simulated differences between CONV1 (CONV2) and CNTL are similar in magnitude and latitudinal profile. For example, simulated wave-1 amplitude averaged over 30-60°N is 12.0 m (CONV1 minus CTRL) and 10.7 m (CONV2 minus CTRL), which is in good agreement with the observed difference of 14.3 m between EQBO and WQBO. Wave-1 amplitude is also peaked at around 55°N for all cases. We also confirm that convection over the tropical western Pacific is most significant for enhanced extratropical planetary wave.

300 The zonal-mean zonal wind ($[U]$) is reduced by about 2.5-3 m/s, at 10 hPa, 70°N (Fig. 13b and d), which is similar magnitude as an observed QBO signal (Fig. 7b and d). The subtropical region, on the other hand, shows the large difference between AGCM and observed signals. This is because in the AGCM simulation QBO is not directly represented and thus the stratospheric meridional circulation anomalies in the subtropics are not well represented.

305 We think that in the present context of the QBO impacts the resemblance between composite differences (EQBO minus WQBO) with and without ENSO (both El Nino and La Nina) events mostly ruled out possible compound influences in mid- to high-latitudes from ENSO (please see Figure 7). However, some differences in the Walker circulation between two composite differences with and without ENSO events, especially in sinking branches (Figure 5a and b). Noting this we have made a series of AGCM experiments. In addition to CONV1 (heating in the western tropical Pacific) and CONV2 (heating in the western tropical Pacific and cooling in the tropical Indian Ocean), results from the experiments with adding negative convective heating placed in the central tropical Pacific around 150°W, 0°N (CONV3P) and in the tropical Atlantic around 30°W, 10°N (CONV3A) are analyzed. In fact, the setting for CONV3A with two sinking branches, one in the Indian Ocean and the other in the Atlantic Ocean mimics the QBO signal without ENSO most (Fig. 5b). The mid- to high-latitudes horizontal pattern in geopotential height anomalies at 250 hPa and zonal-mean zonal wind anomalies (not shown) are similar to the observed QBO signal (Fig. 7b). But most significantly, those horizontal and meridional patterns are captured in all experiments including CONV1 with heating only in the western tropical Pacific. We interpret this that the western tropical Pacific is the most influential to extra-tropics and polar vortex.

320 3.6 Seasonal march

325 Fig. 16 provides information on the seasonal march of anomalies in the stratospheric polar vortex strength and the upward EP flux at 100 hPa. Blue lines are based on reanalysis data and red lines from the simulated results. The observed QBO signal of anomalous upward EP flux at 100 hPa averaged over 35°-70°N reaches its maximum in November or December depending on if ENSO winters are included (Fig. 16a). The simulated anomalous upward EP flux also reaches its maximum value in November for CONV1 and December for CONV2, though the magnitude is about a half of the observed value. The observed QBO signal in the stratospheric zonal-mean zonal wind (55°-80°N, 50 hPa) is larger in December and January, and the signal becomes small in February (Fig. 16b). The effect of the tropospheric pathway estimated by the AGCM shows the maximum in November and weakens in December. The effect of the tropospheric pathway is comparable with the observed QBO signal of the polar vortex strength in November, and it is small in December.

330 Why the tropospheric mechanism does not seem to occur from January onward? Is this because QBO-induced tropical convection anomalies disappear in midwinter? We examined the observed tropical convection difference between EQBO and WQBO for each month and found that it does not disappear but shifts slowly eastward. We then made simple diagnostics on seasonal change in observed wave amplitudes (Fig. 17). At 250 hPa, from September to November, wave-1

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amplitude in EQBO is larger than that in WQBO at around the maximum latitude. This means that the maximum wave-1 amplitude is enhanced. In December, wave-1 amplitude in EQBO is enhanced in high-latitudes. Although this high-latitude enhancement continues to March, wave-1 amplitude at the maximum latitude of 50°N is reduced and no wave-1 amplitude enhancement in the troposphere is seen from January onward. On the contrary, the stratospheric polar vortex in EQBO weakens more in January (Figs. 1a and 16b). This corresponds to an enhancement of wave-1 amplitude at 100 hPa (Fig. 17f). Apparently, wave-1 amplitude in EQBO becomes larger than that in WQBO from November to February. For wave-2, the seasonal march at 100 hPa and that at 250 hPa are similar (not shown). We suppose the stratospheric processes discussed in many previous studies can account for the mid-winter Holton-Tan relationship. In mid-winter, the stratosphere undergoes vacillation without changes in the troposphere (Holton and Mass, 1976; Chen et al., 2001; de la Cámara et al., 2019).

3.7 Modulation by 11-year solar cycle

It has been known that the Holton-Tan relation is modified by the 11-year solar cycle (Labitzke, 2005, and references therein). Recently, Misios et al. (2019) provided strong evidence for weakened Walker circulation at the solar maximum. Recognizing possible compounding influences by the solar cycle on the QBO impact on tropical convection and extra-tropical circulation anomalies as discussed in our paper so far, we have made additional composite analysis as follows.

We used the Nov-Feb mean sunspot number as a solar index (SSN; Fig. A2) whose average value is 92.2. Winters above (SSN>92.2) and below (SSN<92.2) the average are classified as solar max and solar min winters, respectively. We also divided winters into EQBO, WQBO composites, and other winters as described in Section 2.2 (see Table A1 for the sample size of each category). As identified in Misios et al. (2019), the solar impacts on convective activity thus the Walker circulation have one to two years of time lag through the bottom-up mechanism. We thus shifted by one year when classifying solar max and min winters. This sampling scheme provides consistent results with theirs on the solar influence, i.e. stronger Walker circulation at solar minimum seen in Figure A3c.

The QBO signal (EQBO minus WQBO) in OLR is stronger in the solar min years with significantly enhanced convection over the western tropical Pacific. In the solar max years, enhanced convection over the western tropical Pacific is weaker and shifts eastward slightly. Despite some differences, the QBO signal characterized by enhanced convection in the western tropical Pacific is commonly found in both solar max and min composites.

4 Discussion and conclusions

From the composite analysis of the observed data we found that convective activity over the tropical western Pacific is enhanced and that over the Indian Ocean is suppressed in the EQBO compared with WQBO winters. We also made a regression analyses of OLR on the polar night jet, which also shows the robust relationship between the polar night jet and tropical convection, especially over the western tropical Pacific and in early winter.

The linear response of the NH atmospheric circulation in the troposphere to the tropical convection anomalies showed significant constructive interference with the climatological eddy field. Thus the planetary wave, particularly the wavenumber 1, is enhanced due to the tropical convective anomalies. However, this linear response was much smaller than the observed QBO-related signal. The AGCM simulations prescribing a pair of convective heating or at least that over the western tropical Pacific mediated this shortcoming. Based on our analyses we argue that the tropospheric pathway for the Holton-Tan relation plays a major role in November, and a smaller role in December, while the stratospheric pathway plays a more dominant role from December onward. The tropospheric pathway acts to enhance the NH tropospheric planetary waves, thus influencing the tropospheric circulation. In particular, EQBO tends to deepen the Aleutian low in November and

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395 East Asia experiences cold anomalies. Such anomalies associated with the QBO partly come from the tropospheric pathway
through the tropical convection.

One might think that the AGCM can be used to examine the tropospheric pathway by only prescribing the tropical lower
stratospheric temperature associated with the QBO. We have tried such an experiment. However, we have recognized two
400 major shortcomings. One is that a parameterized cumulus convection scheme used in the AGCM cannot guarantee a faithful
response of convection to associated temperature anomalies in the tropical tropopause layer. The other is that the wind field
would change to balance the temperature field, and thus it is very hard to distinguish between the tropospheric pathway and
the stratospheric pathway. Thus we did the experiments specifying the tropical convective heating associated with the QBO.
Related to such difficulty, this study has an implication for the model development. Improvement of the representation of
405 cumulus convection especially its behavior in the tropical tropopause layers in the global climate model has benefits to not
only representation of the local tropical climate variations but also that of the remote mid- and high-latitude climate
variations.

Data availability. All observed data used in this study were based on data publicly available, as described in Sections 2.1 and
410 2.1.

The OLR data is available at: https://www.esrl.noaa.gov/psd/data/gridded/data.interp_OLR.html.

The LBM and AGCM simulation data used in this study are available from the corresponding author upon reasonable
request.

Code availability. ALL codes used for analyses of the reanalysis and simulation data are available from the corresponding
415 author upon reasonable request.

Appendix A: Shape and magnitude of prescribed heating rate

To examine the atmospheric response to the tropical convection anomaly, we performed the LBM and AGCM simulation
using ideal heating that mimics tropical convection. J is determined as

$$\begin{aligned} Av &= \exp[-15 \cdot (\sigma - 0.5)^2] \\ h &= \left[\frac{(\text{lon} - 150)^2}{40^2} + \frac{(\text{lat} - 5)^2}{12^2} \right]^{0.5} \\ Ah &= 1.0 - h, \text{ for } h \leq 1.0 \\ Ah &= 0, \text{ for } h > 1.0 \\ J &= A_{\max} \cdot Av \cdot Ah \end{aligned}$$

420 where Av is the vertical distance factor, Ah the horizontal distance factor determined by h , and A_{\max} the maximum amplitude
of heating. Fig. A1 shows the case with the maximum of the heating of 1.0 K d^{-1} located at 0.5 sigma level, 150°E and 5°N ,
with reduced amplitude linearly with horizontal distance and exponentially with vertical distance from the center.

Appendix B: Evaluation method of diabatic heating rate

425 We evaluated diabatic heating due to anomalous tropical convection based on the conservation law of potential temperature.
We assumed that horizontal advection is negligible in the tropics as well as the tendency term, considering the monthly time
scale and that its composite mean is close to be in equilibrium. Then, the equation adopted in this study is

$$\omega \partial\theta / \partial p = Q = J (\rho/\rho)^x$$

where ω is the pressure velocity, θ the potential temperature, p the pressure, and Q is the diabatic heating in potential temperature, p_0 is reference pressure, κ is ratio of gas constant to specific heat at constant pressure, and J is the diabatic heating in temperature, for which composite anomalies for the QBOE and QBOW years are shown in Figure 6. Actual calculation is done at each grid of the ERA interim data, using the central differencing method on the pressure coordinate.

Author contributions. KY initially got the idea of the tropospheric pathway and designed the study with other co-authors. TN performed AGCM simulations and prepare the LBM calculation. KY analysed the results. The manuscript was prepared with contributions from all co-authors (KY, TN, JU, and KH).

Competing interests. The authors declare that they have no conflict of interest.

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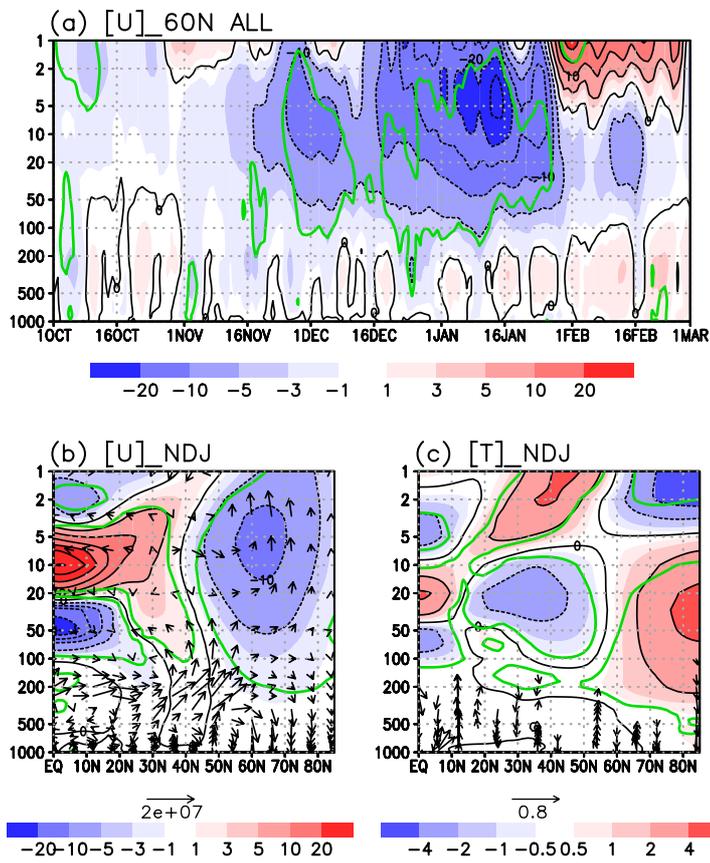
Table 1 List of EQBO, WQBO, and other years categorized in this paper

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EQBO years	WQBO years	Other years
1980, 1982, 1985 ^{La}	1981, 1983 ^{El} , 1986, 1988 ^{El}	1984, 1987, 1992
565 1990, 1997, 1999 ^{La}	1989 ^{La} , 1991, 1994, 1996 ^{La}	1993, 1995, 2001
2002, 2004, 2006 ^{La}	1998 ^{El} , 2000 ^{La} , 2003 ^{El} , 2005	
2008 ^{La} , 2013, 2015 ^{El}	2007, 2009, 2010 ^{El} , 2011 ^{La}	
	2012, 2014, 2016 ^{El}	

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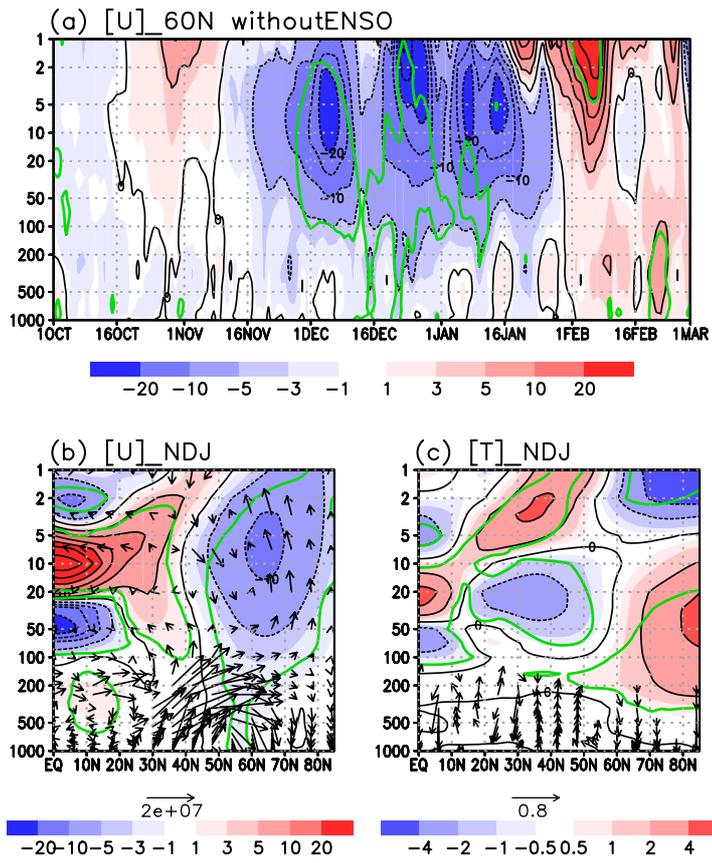
The year denotes that of January. Superscript “El” denotes El Niño winter, and that “La” denotes La Niña winter, both defined by Japan Meteorological Agency.



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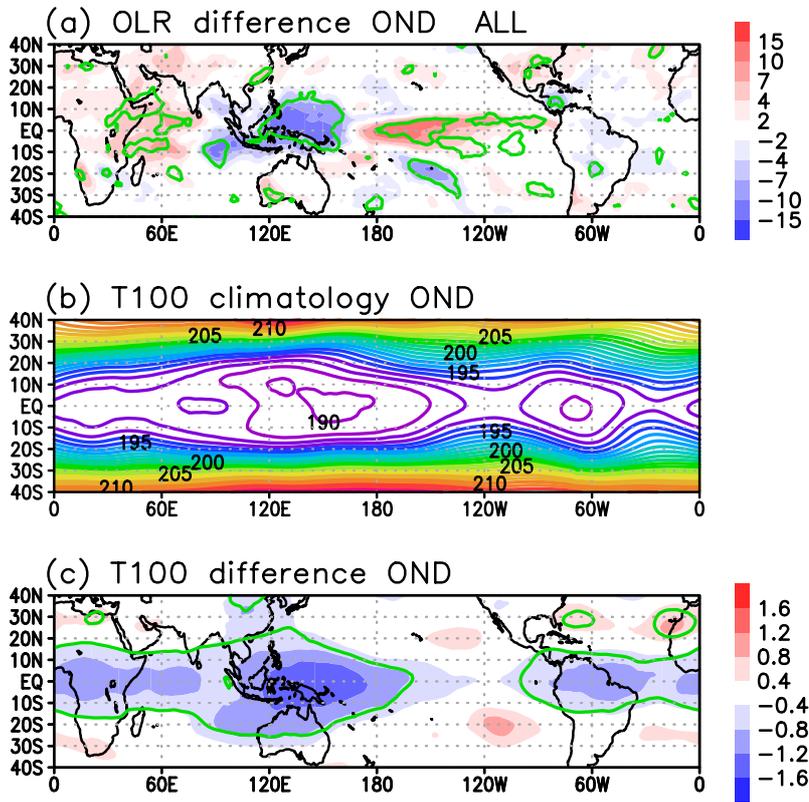
Figure 1. (a) Time-height(pressure) section of the composite difference in zonal mean zonal wind at 60°N between EQBO and WQBO winters. Contour interval is 5 m/s. Green line denotes the statistically significant value at 95% confidence. (b) Latitude-height section of the composite difference in zonal mean zonal wind for 3-month (November, December, and January) mean. Contour interval is 5m/s. The arrows are composite difference in EP flux divided by square root of air density. The Unit of EP flux is kg s^{-2} and the scale arrow is shown at the bottom. Vertical component of EP flux is multiplied by 200. (c) The same as (b) but for the zonal mean temperature. Arrows are composite difference in zonal-mean meridional wind (m/s) and reversed zonal-mean vertical p-velocity (ω ; hPa/s). p-velocity is multiplied by 200. Values of $|\Delta\omega|$ less than 5×10^{-4} Pa/s are omitted.

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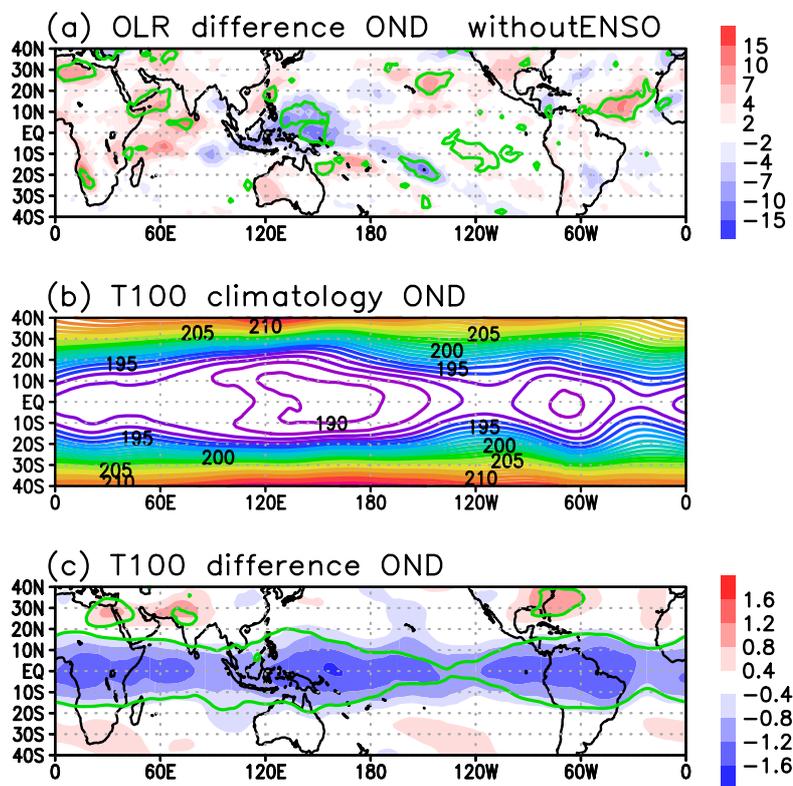


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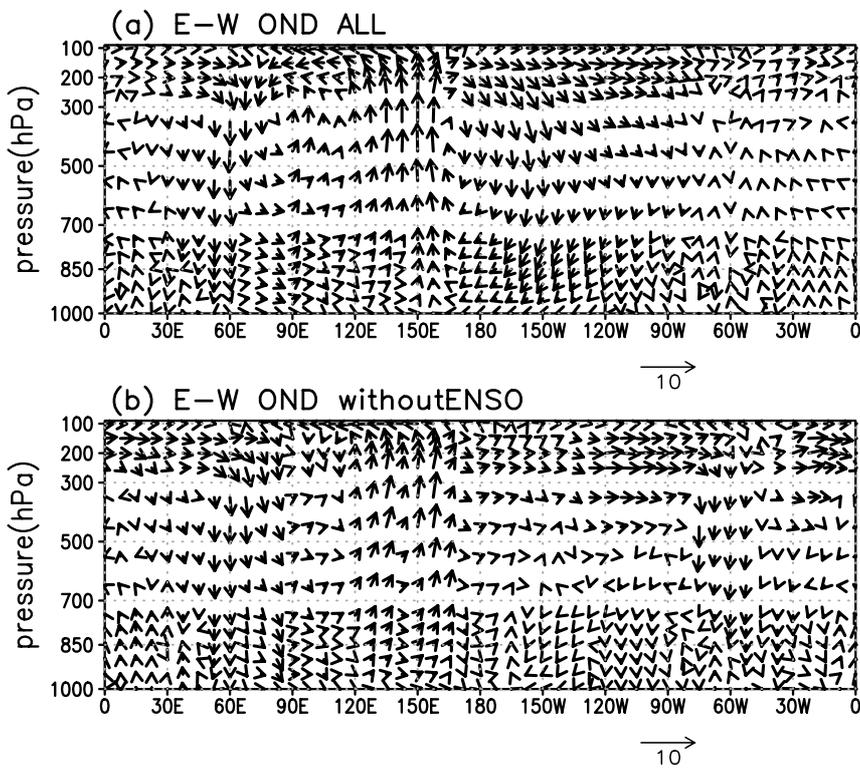
Figure 2. Same as Fig. 1 but without ENSO winters.



600 **Figure 3.** October–November–December (OND) mean OLR differences between EQBO and WQBO winters. (b) OND-mean temperature at 100 hPa averaged for the composite years. (c) OND-mean temperature difference between EQBO and WQBO winters. Green line in (a) and (c) denotes the statistically significant value at 95% confidence level.

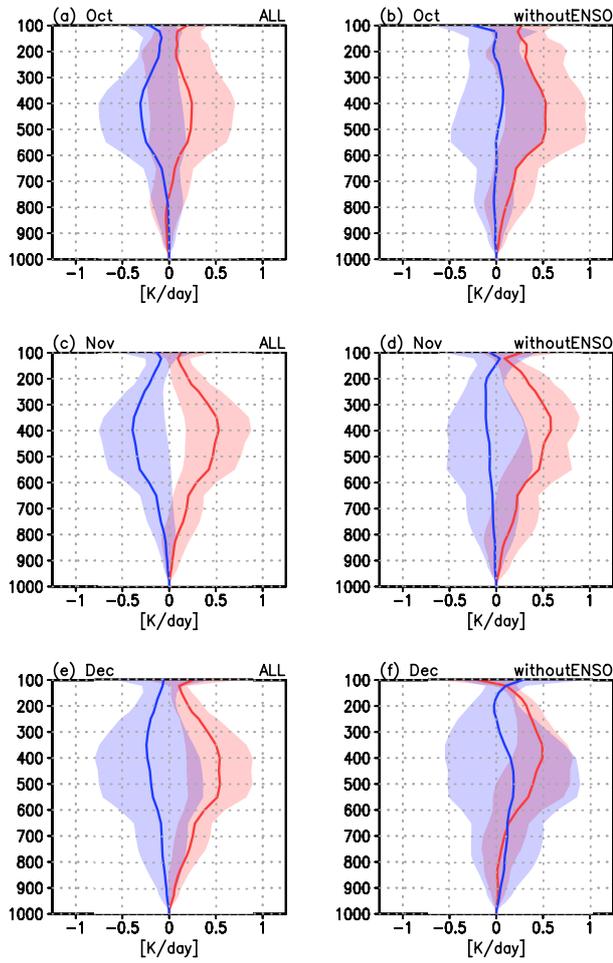


610 | Figure 4. Same as Fig. 3 but without ENSO winters.



615 **Figure 5.** (a) October-November-December (OND) mean zonal-pressure circulation (u-wind and minus p-velocity) differences averaged from 10°S to 10°N between EQBO and WQBO winters. (b) Same as in (a) but without ENSO winters. Arrows below the figure show the scales for 10 m/s U-wind. p-velocity is multiplied by 300.

620



630 **Figure 6.** Vertical profiles of diabatic heating in temperature over western tropical Pacific region [130°-160°E, 0-10°N] derived from the conservation property of potential temperature (see Appendix B). Values are deviation from the climatology. **Red** lines show EQBO composite and **blue** lines show WQBO composite. Shadings show the twice of standard error, corresponding 95% confidence interval. (a) October with ENSO years. (b) October without ENSO years. (c) November with ENSO years. (d) November without ENSO years. (e) December with ENSO years. (f) December without ENSO years.

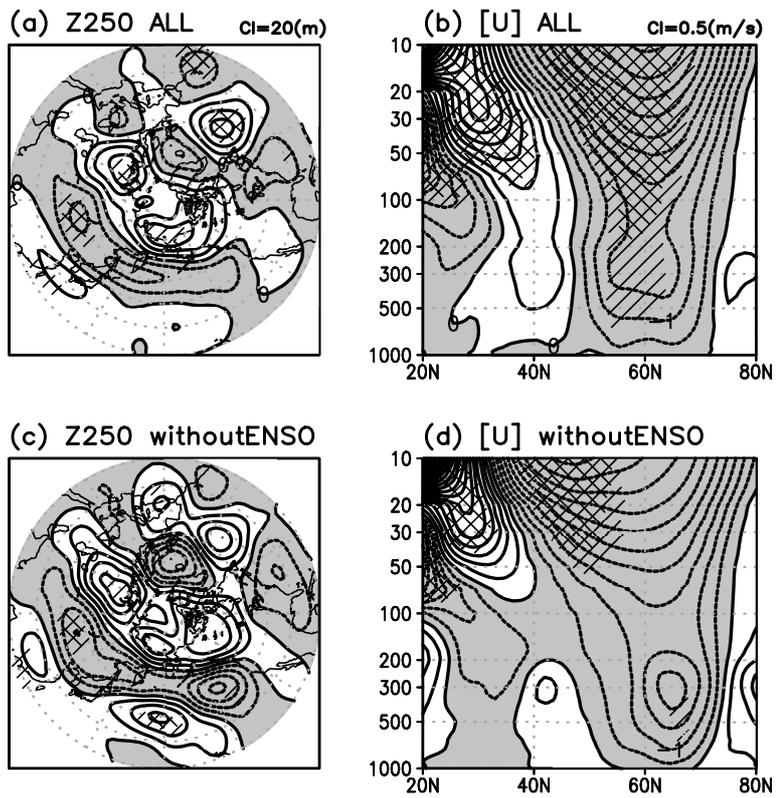
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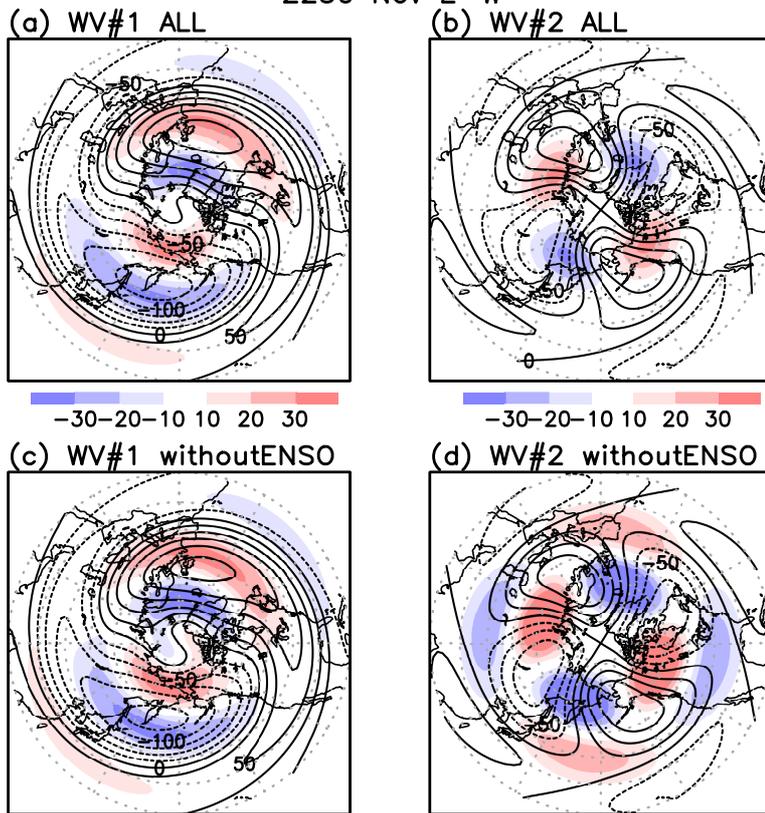
dZ250 & d[U] Nov E-W Composite



640 **Figure 7.** (a) Composite difference of geopotential height at 250 hPa (Z250) in November between EQBO and WQBO winters. Contour interval (CI) is 20 m and negative values are shaded. The values statistically significant at 90 and 95% level are hatched. (b) Same as in (a) but for the zonal mean zonal wind [CI= 0.5m/s]. (c) Same as (a) but without ENSO winters. (d) Same as (b) but without ENSO winters.

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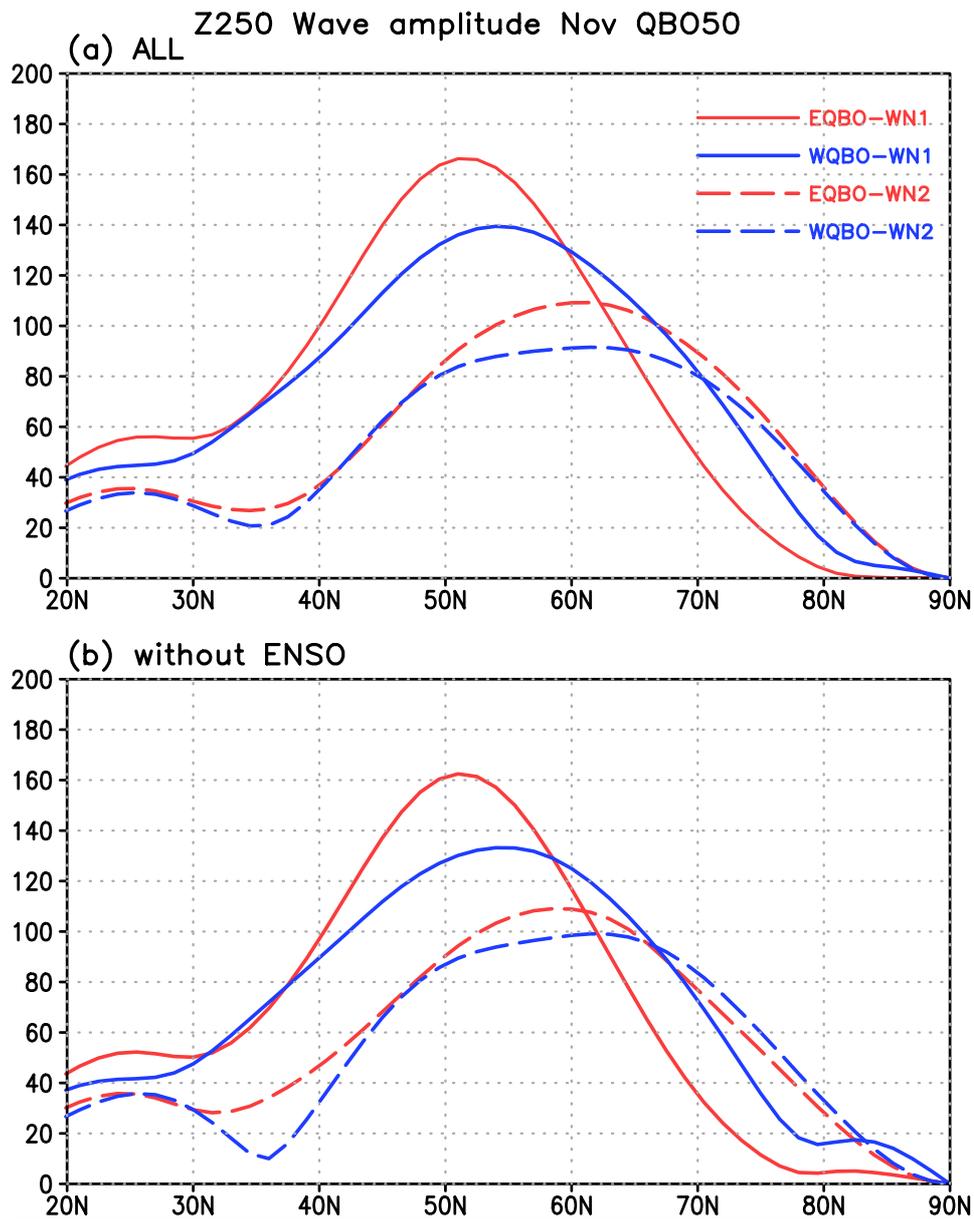
Z250 Nov E-W



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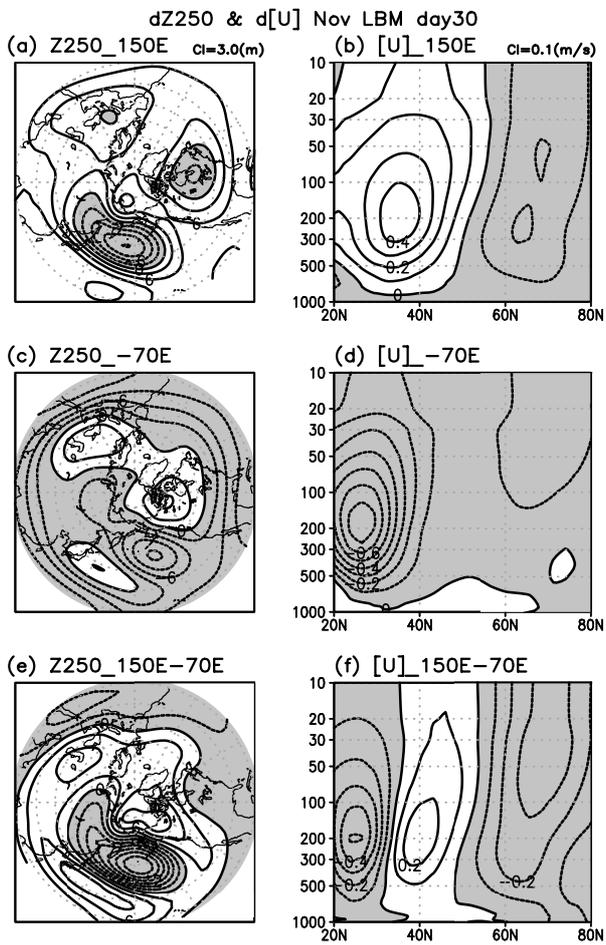
Figure 8. Composite difference of Z250 wavenumber 1 and 2 in November between EQBO and WQBO winters. (a) Z250 wavenumber 1 difference (shade) and climatological wavenumber 1 (contour). Contour interval is 25 m. (b) Same as (a) but for wavenumber 2. (c) Same as (a) but without ENSO winters. (d) Same as (c) but for wavenumber 2.

655



660 [Figure 9.](#) Wave amplitudes at 250 hPa as a function of latitude in the different QBO phases for November. Red (blue) solid line denotes wave-1 in the EQBO (WQBO) composite. Red (blue) dashed line denotes wave-2 in the EQBO (WQBO) composite. Y-axis denotes amplitude in m. (a) All composite. (b) Composite without ENSO winters.

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Figure 10. (a) Linear response of geopotential height at 250 hPa (Z250) to the adiabatic heating centered at 150°E, 5°N simulated by LBM with November climatological background field. Contour interval (CI) is 3 m. (b) Same as (a) but for response of the zonal mean zonal wind [CI= 0.1m/s]. (c) Same as in (a) but for the adiabatic cooling centered at 70°E, 5°N. (d) Same as (b) but for the adiabatic cooling centered at 70°E, 5°N. (e) (a)+(c). (f) (b)+(d). In all figures, negative values are shaded.

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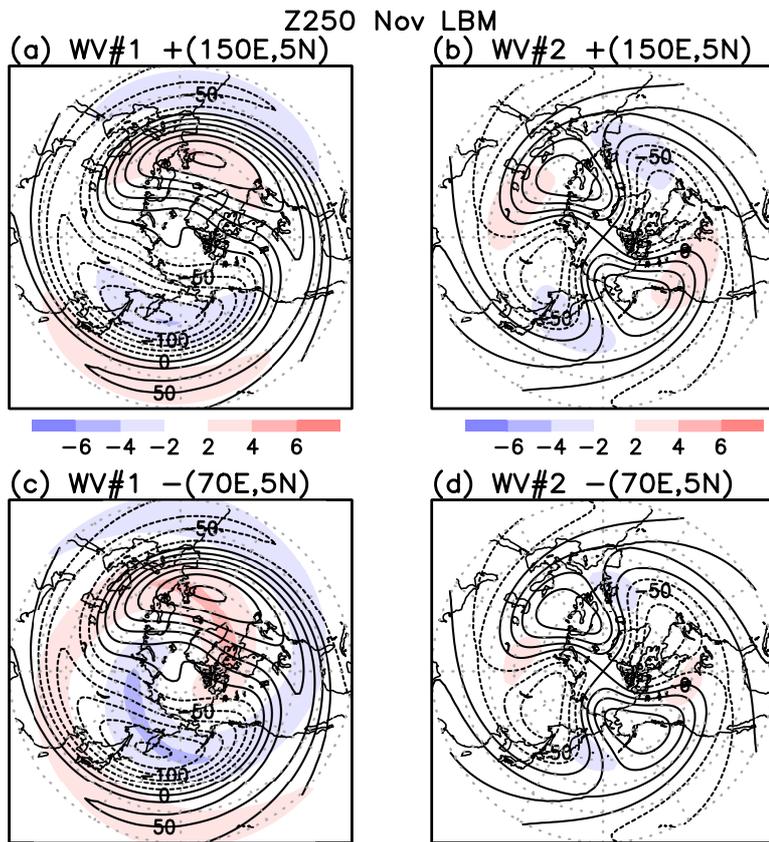
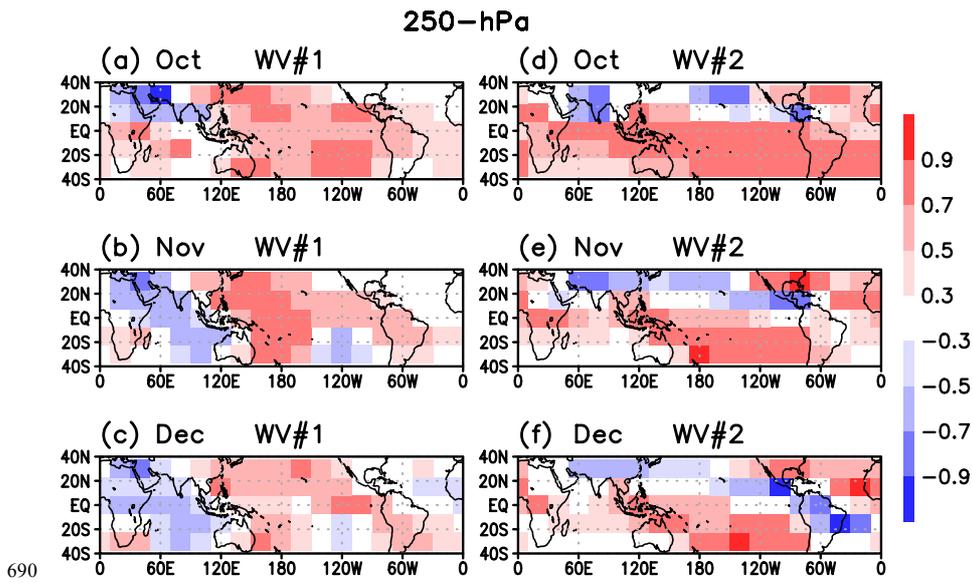


Figure 11. Wavenumber 1 and 2 components of linear responses of geopotential height at 250 hPa (Z250) simulated by LBM with November background field. (a) Z250 wavenumber 1 response at day 30 to the adiabatic heating centered at 150°E, 5°N (shade). Contour shows the corresponding November climatological wavenumber 1 field. Contour interval is 25 m. (b) Same as (a) but for wavenumber 2. (c) Same as (a) but for the adiabatic cooling centered at 70°E, 5°N. (d) Same as (c) but for wavenumber 2.

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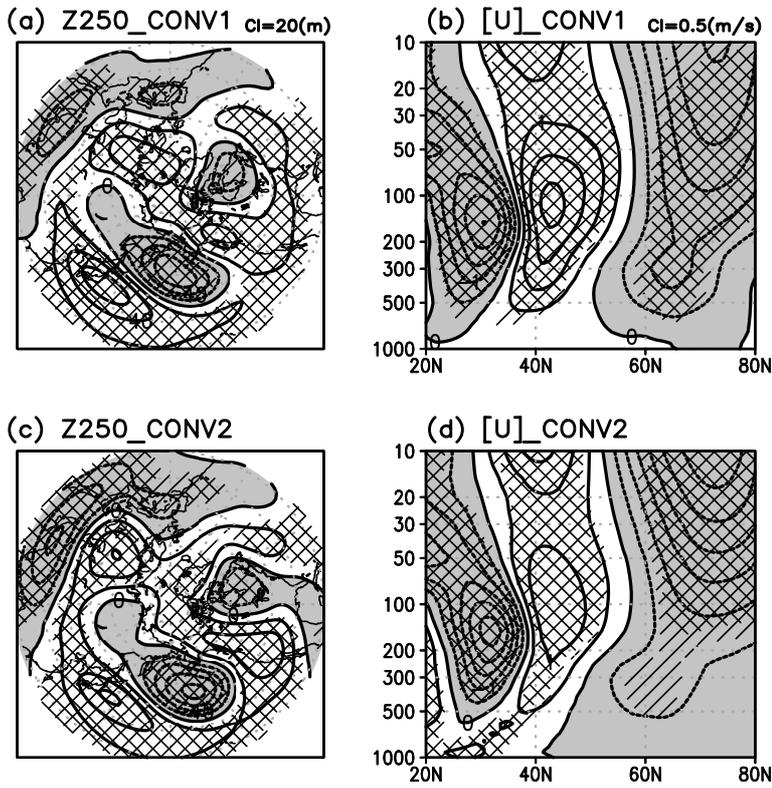
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Figure 12. Correlation coefficients of spatial patterns between LBM-simulated eddy response to heating whose center is located at each grid and the climatological eddy height field north of 40°N at 250 hPa. Correlation value is plotted at the center of the heating location. (a)-(c) Wavenumber 1 field from October to December. (d)-(f) Same as (a)-(c), but for wavenumber 2 field.

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dZ250 & d[U] Nov AFES 60yr

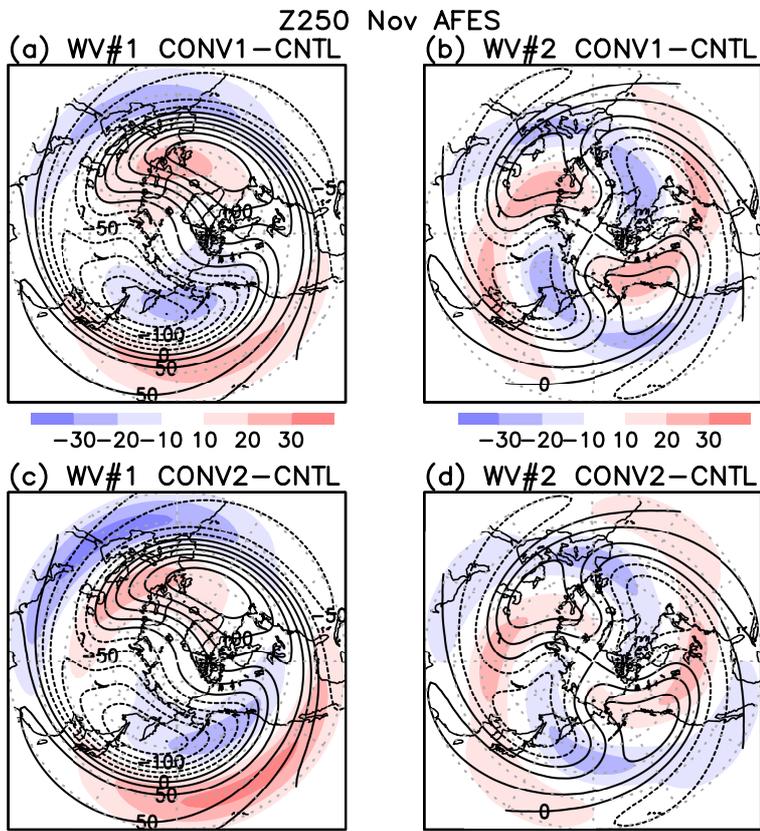


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Figure 13. (a) AGCM simulated response of geopotential height at 250 hPa (Z250) in November to the diabatic heating centered at 150°E, 5°N against the control experiment. Contour interval (CI) is 20 m. The values statistically significant at 90 and 95% level are hatched. (b) Same as (a) but for response of the zonal mean zonal wind [CI= 0.5 m/s]. (c) Same as in (a) but for a pair of diabatic heating centered at 150°E, 5°N and cooling centered at 70°E, 5°N. (d) Same as (b) but for the pair of the heating and cooling. In all figures, negative values are shaded.

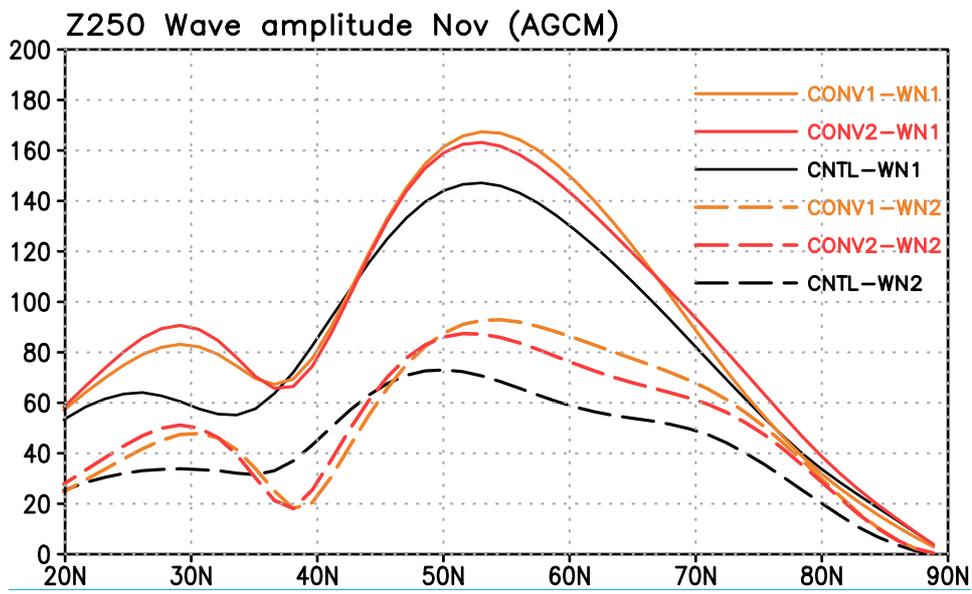
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710 **Figure 14.** Wavenumber 1 and 2 components of AGCM simulated response of geopotential height at 250 hPa (Z250) in November. (a) Z250 wavenumber 1 response to the adiabatic heating centered at 150°E, 5°N (shade). Contour shows the corresponding November climatological wavenumber 1 field. Contour interval is 25 m. (b) Same as (a) but for wavenumber 2. (c) Same as (a) but for a pair of adiabatic heating centered at 150°E, 5°N and cooling centered at 70°E, 5°N. (d) Same as (c) but for wavenumber 2.

715



720 [Figure 15. Latitudinal profile of the wave amplitudes at 250 hPa in AGCM simulations for November, based on 60-year mean. Black lines show the control simulation, orange lines for CONV1 simulation, and red lines for CONV2 simulation. Solid and dashed lines denote wave-1 and wave-2 components, respectively. Y-axis denotes amplitude in m.](#)

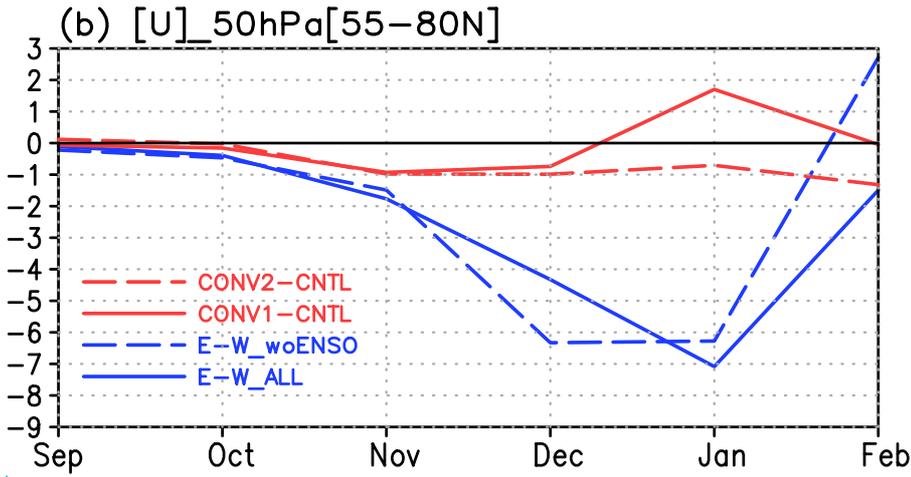
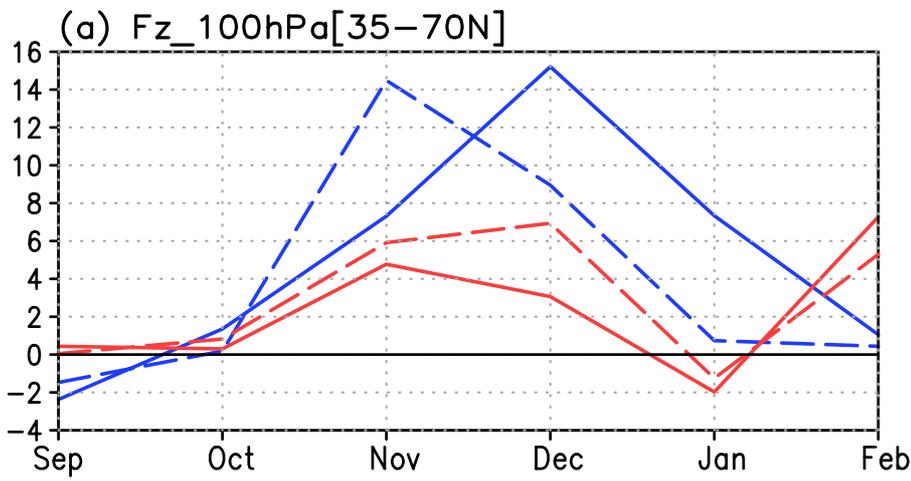
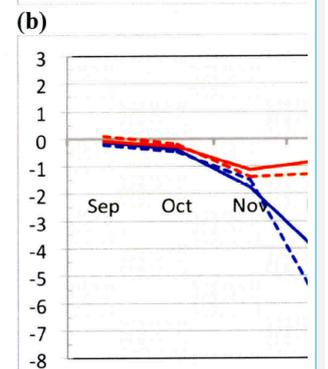
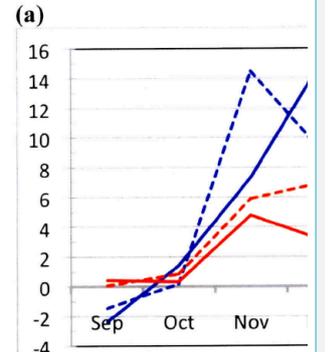


Figure 16. (a) Time series of upward EP flux (F_z) at 100 hPa averaged over 35°-70°N. Unit is $1 \times 10^3 \text{ kg s}^{-2}$. Blue solid (dotted) line shows observed difference between EQBO and WQBO winters (without ENSO winters). Red solid (dotted) line shows difference between CONV1 (CONV2) and CNTL experiments. (b) Time series of zonal mean zonal wind [U] difference at 50 hPa averaged over 55°-80°N between EQBO and WQBO winters. Unit is m/s. Blue solid (dotted) line shows the difference with all years (without ENSO winters). Red solid (dotted) line shows difference between CONV1 (CONV2) and CNTL experiments.

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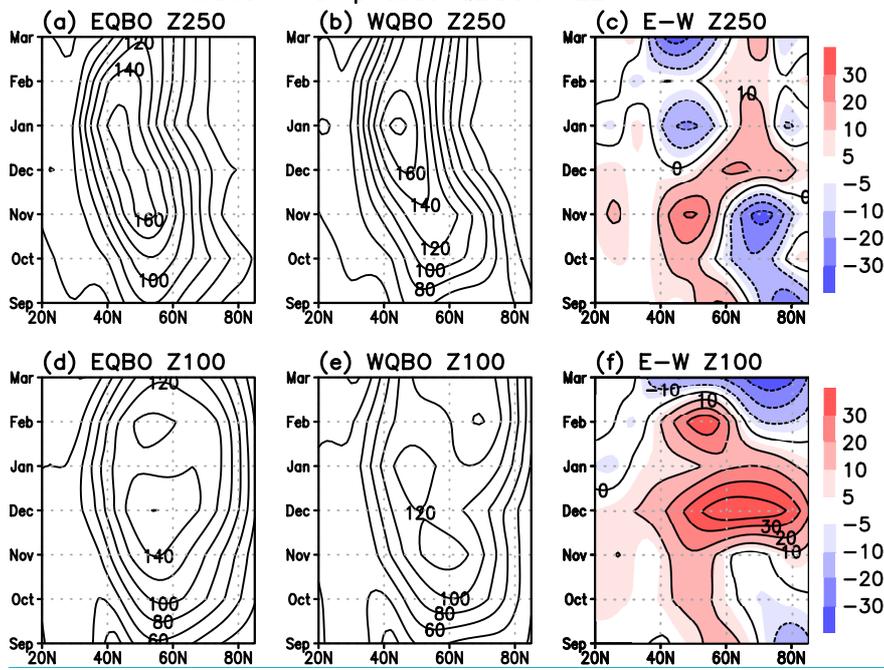
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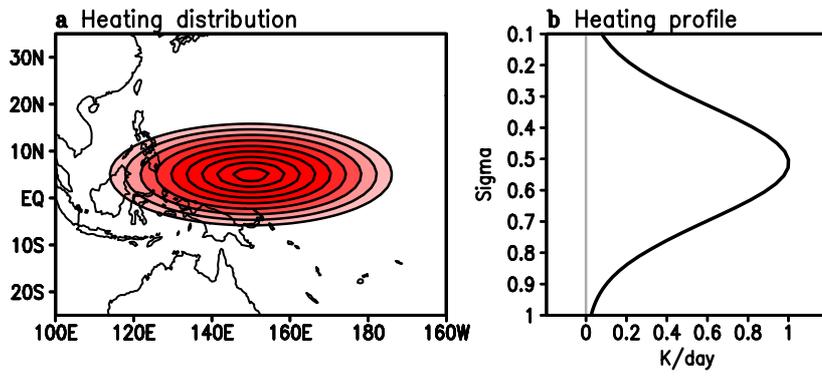
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Wave-1 amplitude QBO50 ALL

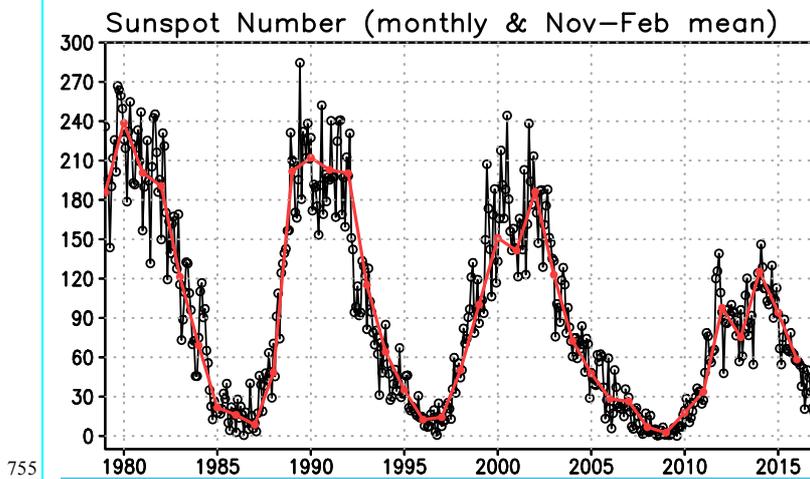


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Figure 17. Latitude-month plots of observed wavenumber-1 amplitude. (a) EQBO composite at 250 hPa. (b) WQBO composite at 250 hPa. (c) Difference between EQBO and WQBO. (d)-(f) Same as in (a)-(c) but for 100 hPa. Contours in (a),(b),(d),and(e) are 20 m, and those in (c) and (f) are 10 m.



750 **Figure A1.** (a) Horizontal distribution of the heating given to force the LBM/AGCM at 0.5 sigma level. Contour is drawn from 0.1 K d^{-1} to 0.9 K d^{-1} with an interval of 0.1. (b) Vertical profiles of the heating at the location of maximum heating (150°E and 5°N).



755 **Figure A2.** Monthly mean sunspot number (black with open circle) and November-February mean (red with closed circle).

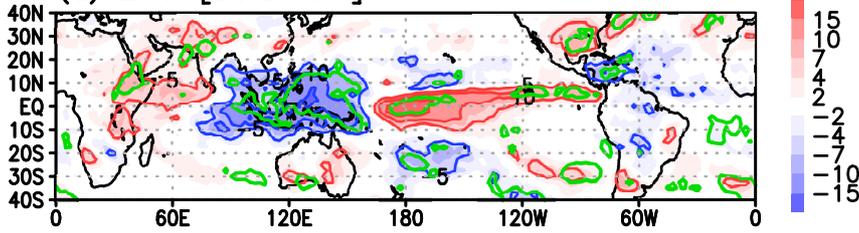
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	EQBO	WQBO	Others
Solar Max	6	8	3
Solar Min	6	11	3

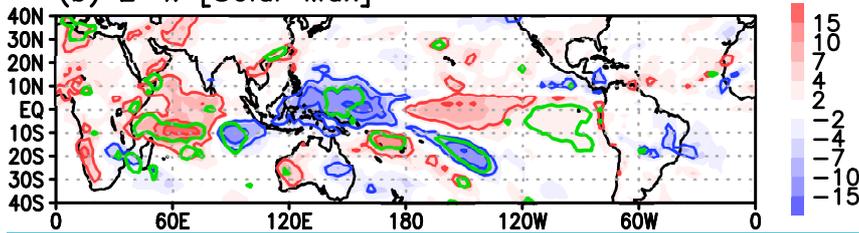
OLR[w/m²] QB050 OND

(a) E-W [Solar Min]

CI=5



(b) E-W [Solar Max]



770

[Figure A3.](#) (a) October-November-December (OND) mean OLR differences between EQBO and WQBO winters for solar minimum winters. (b) Same as (a) but for solar maximum years. Green line denotes the statistically significant value at 95% confidence level.

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